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ABSTRACT

This study investigated factors related to the implementation of the New York State curriculum for English as a Second Language (ESL) in secondary schools. It was hypothesized that three variable sets would relate to the implementation of the curriculum: the nature of the assistance provided the teacher (principal's support and inservice training), the context in which the implementation was attempted (characteristics of teacher and of school setting), and the properties of the innovation (and teachers' perceptions of it). A survey was mailed to the entire population of New York State ESL teachers in 1986-87 in grades 7-12 (n=964). A geographically representative 50% responded. Through discriminant analysis, independent variables significant in distinguishing three groups of teachers (lack of awareness of the curriculum, curriculum rejecters, and curriculum users) were identified. Unaware and rejecter teachers who did not use the state curriculum were less likely than users to be state certified in ESL, to agree that the size of their classes allowed for frequent interaction with students, to agree they had sufficient instructional materials, and to report that their principals supported the use of state-developed curricula. Analysis of responses of teachers familiar with the curriculum found the only significant difference between them to be their perceptions of the curriculum. (Author/MSE)

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FACTORS RELATING TO THE IMPLEMENTATION OF THE NEW YORK STATE CURRICULUM FOR ENGLISH AS A SECOND LANGUAGE IN SECONDARY SCHOOLS

by

Laurie Wellman

A Dissertation
Submitted to The University at Albany, State University
of New York
in Partial Fulfillment of
the Requirements for the Degree of
Doctor of Education

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FACTORS RELATING TO THE IMPLEMENTATION OF THE NEW YORK STATE CURRICULUM FOR ENGLISH AS A SECOND LANGUAGE IN SECONDARY SCHOOLS

by

Laurie Wellman

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Abstract

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The purpose of this study was to determine which factors related to the implementation of the New York State curriculum for English as a second language (ESL) in secondary schools. It was hypothesized that three variable sets would relate to the implementation of the curriculum: the nature of assistance provided to the teacher (principal's support and inservice training), the context in which the implementation was attempted (characteristics of teacher and of school setting), and the properties of the innovation (and teachers' perceptions of it).

A survey was mailed to the entire population of New York State ESL teachers (1986-87) in grades 7-12 (N = 964). Of these, 50 percent responded. Respondents were geographically representative of ESL programs throughout the State.

Through a discriminant analysis, the independent variables significant in distinguishing three groups of teachers (Unaware of the Curriculum, Rejecters and Users) were identified. Among the findings: Unaware and Rejecter teachers who did not use the NYS ESL Curriculum were less likely than Users: (a) to be state certified in ESL, (b) to agree that the size of their classes allowed for frequent interaction with students, (c) to agree that they had sufficient instructional materials and, (d) to report that their principals supported the use of state-developed curricula (accounting for the largest difference among the respondents).

In a second discriminant analysis of the survey results, which included only those teachers who were familiar with the NYS ESL Curriculum (Rejecters and Users), the only significant variable set distinguishing these two groups was the teachers' perceptions of the Curriculum.

Support for the hypotheses of this study indicated that the principal's encouragement, teachers' perceptions, adequacy of instructional materials and time, and teachers' certification status related significantly to the implementation of the ESL Curriculum.

The implications of this study for curriculum developers, school district administrators and researchers are that: (a) implementation studies are an important intermediary step between curriculum dissemination and curriculum evaluation, and (b) certain factors found to be significant in this study should be considered when designing implementation models.

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Purpose of the Study

Introduction

In research studies where nonsignificance is found, the findings might have been better explained if more had been known about the implementation of the innovation being observed. Furthermore, in much educational research, the failure to account for use/nonuse may, in fact, be the reason why the treatment group often appears to be less successful than the comparison group (Hall and Loucks, 1977).

In keeping with Hall and Loucks' (1977) position, before student outcomes are used as the measure of the effectiveness of a new curriculum, it is important for researchers to first establish that the curriculum was, in fact, being used by the teachers for whom it was intended. As Charters and Jones (1973, cited in Fullan and Pomfret, 1977) warn, the absence of reliable measures of curriculum implementation may simply result in the evaluation of nonevents.

This study focused on curriculum implementation, the important yet often overlooked stage between curriculum dissemination and curriculum evaluation.

Purpose of The Study

The purpose of the study was to identify factors related to the implementation of The New York State Core Curriculum for English as a Second Language in the Secondary Schools (hereafter referred to as the NYS ESL Curriculum). Published in 1983, this is the first and only curriculum for English as a second language (ESL) at the high school level to be produced by the New York State Education

Department. Although the use of the Curriculum is not required by state education law, the New York State Education Department Bureau of Bilingual Education, which reviews all funding applications from the state's school districts for both ESL and bilingual education programs, will not grant approval to any funding application that does not provide an assurance that the NYS ESL Curriculum will be used at the high school level (see Appendix A: Statement of Assurances).

In spite of efforts on the part of staff of the Bureau of Bilingual Education to monitor the enforcement of this requirement through site visits to schools, it has not been determined whether ESL teachers are actually using the Curriculum, or what factors contributing to curriculum implementation can be identified in those schools where the implementation of the Curriculum is taking place. For example, is the more highly trained, experienced ESL teacher more likely to use a curriculum than the novice teacher? And, how important are the building principal's interest and involvement in the ESL program to the implementation of the curriculum designed for that program?

The need for an implementation study pertaining to the NYS ESL Curriculum is further supported by the unique character of the ESL instructional program. On-site observations by New York State Education Department staff, ESL teachers' and ESL supervisors' anecdotal records, and informal interviews with ESL teachers provide evidence that factors cited in the literature as contributing to the implementation of school-based innovations, such as new curricula, may be severely limited (or nonexistent) in ESL programs. These factors

include: ESL-specific inservice training; strong leadership in support of the ESL program on the part of the building principal; and, adequate classroom space, instructional and planning time, and instructional materials. As Fullan and Pomfret (1977) state: "If there is one finding that stands out in our review, it is that effective implementation of social innovations requires time, personal interaction and contacts, inservice training and other forms of people-based support" (p. 391).

The vast majority of the implementation literature that is commonly cited by researchers was developed in the 1970's (Fullan and Pomfret, 1977; Berman and McLaughlin, 1976; Charters, 1973; Zaltman, Florio and Sikorski, 1977; Berman and Pauly, 1975; Fullan and Eastabrook, 1973; Naumann-Etienne, 1974; Gross, Giacquinta and Bernstein, 1971; and others). However, a recent publication that marks a major contribution to the field of implementation study, Huberman and Miles' Innovation Up Close:How School Improvement Works (1984), based on a three-year study funded by the U.S. Department of Education and conducted in twelve school districts throughout the United States, provides detailed explanations as to why specific innovations did or did not work. The questions asked by the authors focus around the initial effects of:

1. the nature of internal and external assistance;
2. the properties of the innovation; and,
3. the local context:

to study a process that begins with

4. an adoption decision; moves to

5. transformations (also called site dynamics);

and then ends with

6. outcomes in school practice (stabilization of use, e.g., impact on students).

The key variables explored in this study were based on Huberman and Miles' (1984) first three categories of variables. Although their implementation theories will be discussed in more detail later in this chapter, and in Chapter II, a brief summary of this segment of Huberman and Miles' implementation theory will provide further clarification of the purposes of this study, as follows:

Nature of internal and external assistance focuses on the support provided by the building principal to the implementer (in this study, the ESL teacher); and on inservice training which specifically relates to the needs of that teacher. The principal's understanding, leadership and support of the various innovations were found, by Huberman and Miles (1984), to be critical to the subsequent implementation of those innovations at various sites. This study sought to determine whether or not ESL teachers perceived their principal's role to be one that was in support of the implementation of the NYS ESL Curriculum. ESL teachers were also asked, in this study, whether or not they had received inservice in direct support of the NYS ESL Curriculum, in order to assist them with its implementation, another factor explored by Huberman and Miles (1984). Both of the above factors are manipulable.

Properties of the Innovation, another category of variables explored by Huberman and Miles (1984), focuses on whether or not the

innovation correlates with the philosophy, methodology, tests, texts and other key elements of the instructional program. This study attempted to determine ESL teachers' perceptions of the "goodness of fit" of the NYS ESL Curriculum, the degree to which they had to alter their instructional program because of the Curriculum, the ease of use of the Curriculum (clarity, organization, etc.) and other factors relative to the innovation. Although these factors may not appear to be immediately manipulable, they may become so with subsequent revisions of the document and/or adjustments of the instructional program.

Local context, the third category of Huberman and Miles' (1984) variables focuses on factors such as the training, background and expertise of the teacher, and characteristics of the school and district. This study attempted to ascertain, for example, whether a teacher with little or no experience in ESL was more or less likely to be implementing the NYS ESL Curriculum than a teacher with greater training and expertise in the field. This research also sought to determine whether or not the school context was conducive to implementation, by asking teachers whether or not they perceived instructional space, time provided for planning and instruction, and instructional materials to be adequate.

These factors, relative to context, may not be manipulable. For example, the ESL teacher may be inexperienced, or the building may be so overcrowded that ESL instruction must take place in a converted storage room. However, this study did not rule out the exploration of those nonmanipulable factors because, as Huberman and Miles (1984)

found, a weakness in one area (e.g., lack of materials) may be compensated for in another area (e.g., hiring a highly experienced, skilled teacher).

This study sought to identify those factors which had the strongest relation to the implementation of the NYS ESL Curriculum. By enhancing those factors which are manipulable, and by compensating for those factors which are not, it is hoped that an increased level of implementation of the NYS ESL Curriculum in non-implementing schools will be a direct outcome of this study.

Statement of the Problem

Two major issues relating to the implementation of The New York State Core Curriculum for English as a Second Language in the Secondary Schools (NYS ESL Curriculum) were perceived to exist:

1. There is a need for the New York State Education Department to conduct studies to determine whether or not state-developed curricula and related materials are actually being used by teachers.

Although there is an apparent increase in the centralization of curriculum control in New York State, once new curriculum materials have been completed and disseminated by the New York State Education Department, curriculum implementation studies are not conducted. Instead, the Department attempts to determine the effects of a curriculum by administering state-developed tests such as PEP (Pupil Evaluation Program) tests or Regents examinations which measure student outcomes.

2. There is a need to determine the factors relating specifically to the implementation of the NYS ESL Curriculum, since the Curriculum has the potential to impact on ESL programs for limited English proficient (LEP) students throughout New York State.

The need for curriculum implementation studies at the state level. With the recent advent of the new Part 100 Regulations governing all educational programs in the state in grades kindergarten through twelve (Ambach, 1984), there is an apparent trend toward the increased centralization of control over education in New York State. This trend is further evidenced by the increased interest on the part of the New York State Board of Regents in curriculum revision and/or development. In a report to the statewide BOCES (Boards of Cooperative Educational Services) Staff/ Curriculum Network (April, 1987), the New York State Education Department Division of Program Development listed 122 curriculum or syllabus projects which were in various stages of planning, development, implementation or revision. However, in spite of this continuous flow of curricula and related materials from the New York State Education Department, as of 1985, when this study was initiated, the most recent surveys conducted by the State Education Department to determine whether or not teachers actually use these curriculum materials had been conducted in 1975-76. Furthermore, the 1975-76 studies reported only on teachers' use or nonuse of the materials, but did not explore the factors which were directly related to use.

Although field tests are usually conducted by New York State Education Department subject area bureaus, such as Mathematics, Social

Studies and Science, as they develop their curricula, these field tests are somewhat limited in scope, their primary objective being to solicit teachers' responses to the new or revised instructional materials, and, like the 1975-76 Education Department study, the field tests do not generally focus on implementation of curriculum, either initially or in subsequent years following initial dissemination.

Since a considerable amount of staff and fiscal resources are directed toward curriculum development at the state level each year, the need for curriculum implementation studies, such as the one that will be discussed, appears to be justified. Doll (1982) argues that, "...the revived philosophy that management of education truly belongs to the state, together with a decrease in the funds available from the federal government, has brought an augmentation of the state's role" (p.343). How New York and other states will respond to this ever-increasing responsibility must be a concern for those who develop and disseminate instructional materials at the state level.

The need to determine factors relating to the implementation of the NYS ESL Curriculum. In New York State's schools there are well over 100,000 students identified as LEP, (Bureau of Bilingual Education, 1985) (see definition of LEP in this chapter). These students represent more than 90 different language groups, ranging from Afrikaans to Zulu. Those students fitting the legal definition of LEP, however, may be only a small percentage of the actual school population in need of ESL services. The statewide reference point for designation as LEP, the 23rd percentile on a standardized test of reading in English, is unrealistically low, according to the

Commissioner's Bilingual Advisory Council, school administrators, ESL teachers, and bilingual project directors. Students who are no longer designated as LEP are still in need of ESL services, they maintain, particularly in the areas of reading and writing in English. And yet, when students are no longer designated as LEP, they can no longer generate LEP State Aid for ESL or bilingual services, and are frequently dropped from the programs as a result. If this additional number of students still in need of ESL support were included in the statewide count, the number would be substantially higher than 100,000, possibly more than double that number.

According to the New York State Education Department's Information Center on Education Course Registration Data (1986-87), the total reported registration of students in ESL programs in grades 7-12 was 52,520 (44,557 in New York City; 7,963 in the rest of the state). (These course registration counts include some students above the LEP designation cutoff who are still in need of, and registered in, ESL programs.) And, according to the same source, 974 teachers reported that they were assigned as ESL teachers in grades 7-12 in 1986-87 (658 in New York City; 316 in the rest of the state).

The above teacher counts do not take into account the "incidental teaching" of ESL provided in many school districts by speech, reading, foreign language, or other teachers. For the purposes of this study, only the 974 assigned as ESL teachers during the 1986-87 school year were included in the study.

LEP students have unique educational needs. (For the purposes of this study, a broad definition of LEP was used i.e., all nonnative

speakers of English in need of some level of ESL instruction including those below the 23rd percentile.) The first priority of instructional programs for LEP students, according to both federal and state laws and regulations, must be the learning of English. This may be accomplished through a bilingual education program, wherein both subject area instruction in the student's native language and ESL are provided until the student is sufficiently proficient in English to benefit from total instruction in English with the "mainstream" population. An alternative approach to bilingual education is intensive ESL instruction coupled with attendance in regular classes, with English-dominant students. Whichever approach is used, the LEP student must meet the same requirements for high school graduation as all other students in the state. This includes passing required Regents competency tests in reading, writing and mathematics (New York State Education Department, 1984-85).

Unique to New York State is the special provision in the competency testing program that LEP students who have entered school in New York State (where it is presumed that English is the primary language of instruction) after grade eight, may opt to take any or all of the competency tests in their native language. The Bureau of Bilingual Education was instrumental in persuading the Board of Regents that a competency test should be just that, a test of the student's ability to read, write and compute - not solely a test of his/her ability to use the English language. The Bureau maintained that to deny eligible students the opportunity to demonstrate their

competencies through their native language to earn a high school diploma would be discriminatory.

As part of the landmark decision to allow alternative competency testing procedures for LEP students, the Board of Regents required that a test of ESL also be administered so that LEP students could demonstrate that they had made progress toward the learning of English commensurate with the number of months they had attended high school in New York State. In order for the New York State Education Department to develop such a test, a uniform statewide ESL curriculum had to be developed at the high school level on which to base the test. (As of 1988, the state test is not yet available; school districts may select any one of several state-approved, commercially available ESL tests for this purpose.)

In 1983, the NYS ESL Curriculum was published and first disseminated. However, once dissemination began, and initial inservice was provided in selected locations around the state, no other follow-up to determine teacher reaction or level of implementation was conducted. Since over 10,000 copies of the Curriculum have already been disseminated, a study to determine whether the Curriculum is actually being implemented in New York State's schools and, if not, why not, would be useful.

As early as 1968, Klein and Tyler warned of the great potential for damage since curriculum (which may or may not be of good quality) was now centrally developed and widely used. Although this NYS ESL Curriculum study was limited to implementation in New York State only because this curriculum was, as recently as 1985, the only high

school-level ESL curriculum produced by a state education department in this country (National Clearinghouse for Bilingual Education,1985), the implications of this study could have consequences on a national level as well, should the need for major revisions to the content and/or the format of the NYS ESL Curriculum be revealed. In addition, other state education departments and several commercial publishers have expressed interest in developing curricula and instructional materials based on the New York State model (Bureau of Bilingual Education technical assistance records).

The nationwide focus on the teaching of English as a second language. In 1974, the Supreme Court ruled (Lau v. Nichols) that school districts were required to comply with Title VI of the Civil Rights Act of 1964 by providing special programs for LEP students, in order to give them an equal opportunity to an education (U.S. Commission on Civil Rights, 1975). Since that time, bilingual education and ESL have been closely scrutinized throughout the nation. The major overriding criticism is the alleged failure of these programs to adequately teach English.

In a September 26, 1985 speech in New York City, Secretary of Education William Bennett, addressing the Association for a Better New York, strongly attacked bilingual education. This speech was then followed by an unprecedented flurry of newspaper articles, as well as televised debates on the "Today" and "Good Morning America" shows (both conducted on Friday, September 27, 1985), in which bilingual education and ESL were discussed. Shortly thereafter, one newspaper columnist suggested that we are sentencing our LEP students to a

lifetime of second-class citizen status by virtue of their continuing limited English proficiency (Gary Wills, October 31, 1985). The most exhaustive focus of attention on programs for LEP students followed, with the dedication of the entire Sunday "New York Times Education Supplement" to the issues of bilingual education and ESL (November 10, 1985).

In view of all of the public criticism, and in view of the extraordinarily high dropout rates reported for minority students, one must question whether we are, in fact, succeeding in our efforts to teach English to LEP students. For example, while not all Hispanic students are LEP, an estimated 79.7 percent of Hispanic students in New York City, and an estimated 29.3 percent of Hispanic students in the rest of the state drop out of school in grades nine through twelve (Aspira of New York, Inc.,1983). It is generally assumed that these alarming statistics can be attributed, at least in part, to the fact that many of these students are not native speakers of English, and are in need of special ESL and/or bilingual services. (Information on the number of Hispanic students included in the study who are actually LEP was not provided.)

In response to the questioning of the effectiveness of ESL programs in New York State (either within, or independent of, bilingual education programs) a critical examination of whether or not the NYS ESL Curriculum, which is assumed to be the framework upon which every high school ESL program in the state rests is, in fact, being implemented, was undertaken.

Theoretical Framework of the Study

This section provides a further expansion of each of the variable sets that were established as the theoretical framework of the study, followed by the research model and the hypotheses which were based on the model. The variable sets were:

1. The nature of assistance provided to the teacher in support of the implementation effort was examined at two levels: direct support on the part of the building principal, and ongoing inservice training. The literature shows that the interest, involvement, and support of the building principal were critical to the implementation of many school-based innovations. Huberman and Miles (1984), for example, describe the need for enforcement on the part of administrators, which they term "muscle," but also stress the importance of "tutoring and tenderness" to accompany this enforcement effort (p. 279).

The present study sought to determine the extent to which this ideal combination of the building principal's enforcement and support could be observed in New York State's ESL programs. Anecdotal records of ESL program monitors as well as informal interviews with ESL teachers in the schools reveal that some principals appear to lack a basic understanding of what it is that the ESL teacher actually does. This is demonstrated, for example, by some principals' erroneous use of the terms "bilingual" and "ESL" interchangeably; the assumption being (as evidenced by principals' reported resistance to hiring specially certified ESL teachers) that anyone who can speak English can teach it to LEP students, if they persevere, and, the apparent

assumption on the part of some building principals that, if an ESL class is working quietly at their desks all is well. (Language is communication, and communication is noisy!) Because of these and other factors, many ESL teachers report to program monitors that their principals visit their ESL program rarely, if ever, and cannot, and do not, actively support the ESL teachers in their efforts.

Because ESL teachers, particularly those in upstate schools, are frequently the only faculty members in the building (and, sometimes, the district) who provide ESL instruction, the need for ongoing inservice training specific to their programs is often not met. Furthermore, although some ESL teachers may be permitted to attend the annual statewide or national conference for ESL teachers, may take courses at a local college or university (if there is one within convenient travelling distance, and if it is financially feasible), or may be offered a one-day regional ESL teacher-training workshop, many others are not free to take advantage of these opportunities for further training. In addition, Superintendent's Day, or other district-wide efforts at inservice training, generally offer training only in such areas as discipline and classroom management skills. While these are important areas of concern for all teachers, the ESL teacher fails to receive the specialized, ongoing inservice training that much of the literature points to as important to the implementation of a school-based innovation. In this study, the availability of inservice training specific to the NYS ESL Curriculum was explored, for its possible impact on the implementation of the Curriculum.

2. The properties of the innovation, and teachers' perceptions of them, were also examined for their potential relation to the NYS ESL Curriculum implementation effort. In order to understand subsequent discussions regarding teachers' perceptions of such factors as the "goodness of fit" of the NYS ESL Curriculum with their avowed philosophies and methodologies of ESL instruction, it is important that the reader have some knowledge of the design of the Curriculum (see Appendix B).

3. The local context in which the implementation of the Curriculum was attempted was explored in terms of the availability of adequate time, space, and materials for the ESL program, and in terms of the teacher's experience and qualifications. Anecdotal records of ESL program monitors, reports from ESL supervisors and ESL teachers, and narrative descriptions of ESL programs which are part of funding applications indicate limitations in the amount of time, space, and materials available in many ESL programs for planning and for delivery of instruction.

Lack of instructional time, i.e., not scheduling ESL students to the two periods of ESL each day that it is generally agreed are necessary for lower level students, may impede the progress of the ESL program. In informal interviews, one of the reasons cited by ESL teachers for restrictions in the amount of instructional time provided in the ESL program is the fact that principals are not required by the New York State Education Department to provide credit towards graduation for attendance in ESL classes (although principals are permitted to do so, and many do exercise this option, granting credit

sometimes as an elective, and sometimes as "regular" English). As a result, if high school students take two or even three periods a day of ESL, they may be deprived of the opportunity to earn academic credits toward graduation. The students, themselves, sometimes urge the ESL teacher to transfer them into "regular English" classes as quickly as possible. According to the teachers interviewed, when this transfer occurs without the necessary buildup of the student's reading and writing skills in particular, the students may then have difficulty with their academic work when they are mainstreamed, and still may never graduate. This study sought to determine whether these limitations on teaching (and planning) time also impacted on the ESL teacher's implementation of the NYS ESL Curriculum.

Space in which to teach is also apparently a problem for some ESL teachers. Bureau of Bilingual Education program monitors have observed that, in school buildings throughout the state, ESL instruction sometimes takes place in converted storage rooms without windows, in bookrooms, on the edge of a cafeteria table, in a corner of the library (with constant reminders to keep the noise level down), or in corridors. One might question whether the ESL teacher in a self-contained classroom, including display areas, storage and filing space, blackboards, and a door to close should music or other noise-generating instructional techniques be used, would be more likely to be implementing the NYS ESL Curriculum than those teaching in less optimal surroundings.

The paucity of ESL instructional materials is yet another problem in many ESL programs, with teachers observed by program monitors to be

experiencing a shortage of instructional materials and/or using outdated textbooks. In one large city school district in the state, ESL teachers reported an annual materials budget of $100 per teacher. One teacher who had used $75.00 for the purchase of a much-needed wall map was forced to spend her own money on other instructional materials beyond the remaining $25.00 which her school budget would allow. The situation in this same school district was especially critical for newly appointed teachers who did not have the benefit of instructional materials accumulated over the years. Some reported that they had entered empty classrooms in September, and were dependent upon other ESL teachers' willingness to share what they had in their classrooms. This study sought to explore the possible impact that such a shortage of materials might have on an ESL teacher's ability to successfully implement the NYS ESL Curriculum.

Finally, a key factor in any discussion of the local context in which a school-based implementation is attempted is the teacher. The presence of appropriately licensed (New York City only) or State certified (rest of state) ESL teachers who had the necessary training and experience to successfully use the NYS ESL Curriculum was also considered to be a critical context-related factor in this study.

The literature stresses the importance of a teacher who has the training, knowledge and expertise to effect the implementation of an innovation. Yet, New York State Education Department estimates of the numbers of teachers who are teaching ESL without the appropriate ESL state certification or local license run into the hundreds, in spite

of aggressive efforts on the part of the Department to enforce these requirements in this and all fields of teaching.

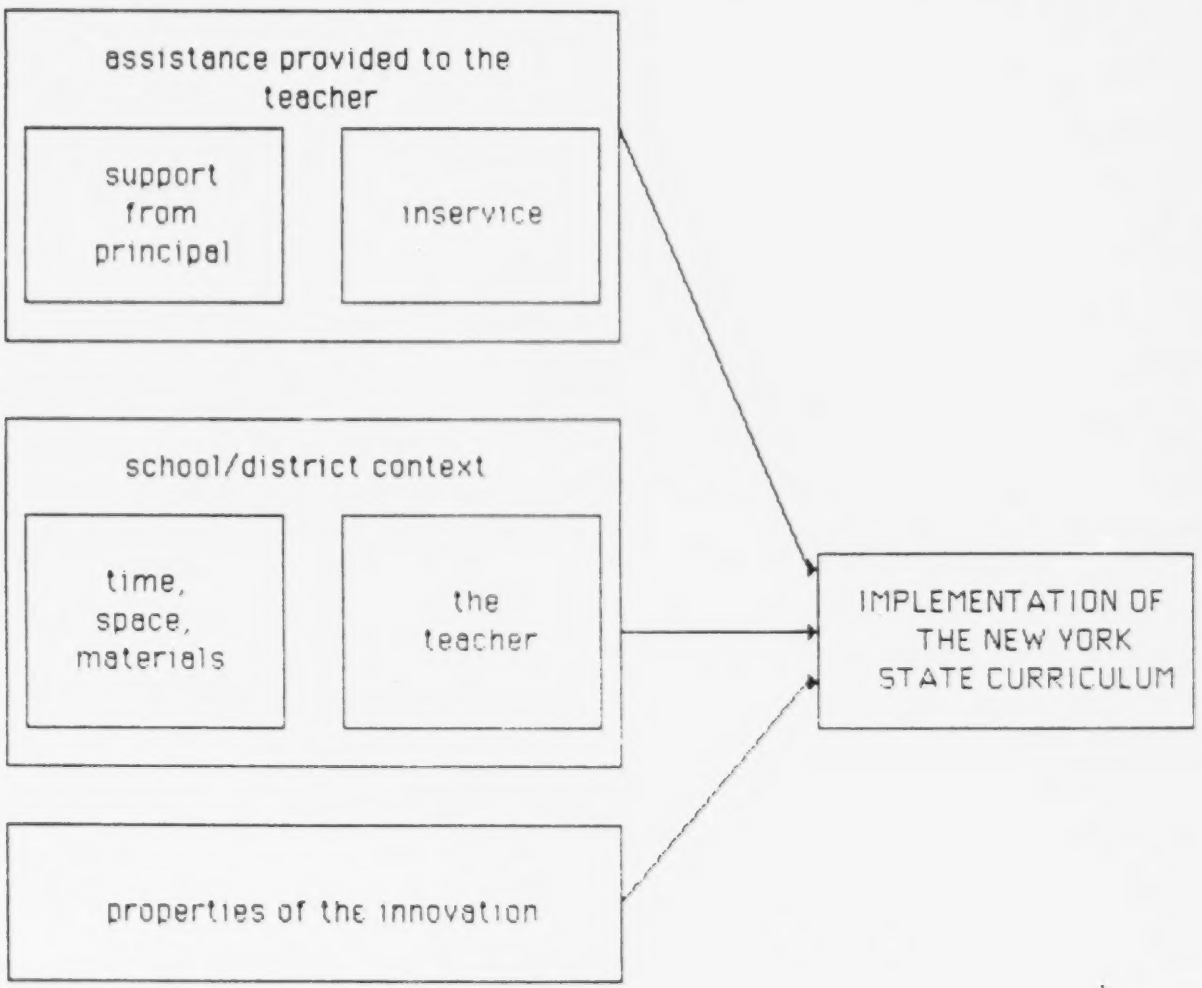
Some school districts are frustrated in their efforts to find and hire ESL certified teachers, while other smaller districts simply refuse to hire a full-time certified teacher for a relatively small number of students in need of ESL services. (A school district is legally allowed to have teachers teach no more than one period a day outside their areas of certification. This is referred to as "incidental teaching." This is the procedure followed by several school districts with very small numbers of LEP students, even though this lack of full compliance with certification requirements may render a district ineligible for certain state funding for LEP programs.)

As a result of the above factors, ESL instruction may be provided by a teacher who has no background in ESL, no experience, no qualifications, and no credentials to provide the instructional services that may very well determine the LEP student's future success in school and beyond. This study explored the likelihood that such teachers would be able (and willing) to effectively understand, interpret, and apply the large body of highly technical information that is to be found in the NYS ESL Curriculum.

Model Showing the Relationship of Independent and Dependent Variables

The research model portrays the independent variables of the nature of assistance provided to the teacher, the context in which the implementation was attempted, and properties of the innovation. Curriculum implementation is the dependent variable.

Figure 1. Model showing the relationships of independent and dependent variables.



Hypotheses

Based on the Huberman and Miles (1984) model, to be discussed at length in Chapter II, it was hypothesized that implementation of an innovation in the schools will be significantly related to:

* the nature of the assistance provided to the teacher (from the building principal, and through ongoing inservice training),

* properties of the innovation (e.g., the curriculum), and,

* the context in which the implementation of the innovation is attempted (including certain characteristics of the school and district) and, the level of training, experience, and expertise of the teacher).

Therefore, it was hypothesized that:

Implementation of a school-based innovation will be related to support from the building principal.

H_1: In those buildings where English as a second language (ESL) teachers receive little or no direct support from the building principal, implementation of the NYS ESL Curriculum will not occur.

H_2: In those buildings where ESL teachers receive direct support from the building principal, implementation of the NYS ESL Curriculum will occur.

Use of an innovation will be related to the provision of appropriate inservice training.

H_3: In those buildings where inservice training specific to the needs of ESL teachers is not provided, implementation of the NYS ESL Curriculum will not occur.

H_4: In those buildings where inservice training specific to the needs of ESL teachers is provided, implementation of the NYS ESL Curriculum will occur.

Implementation of a school-based innovation will be related to clarity, ease of use, and "goodness of fit" of that innovation.

H_5: In those buildings where ESL teachers do not perceive the NYS ESL Curriculum to be clear, easy to use, and consistent with their instructional philosophies, practices and materials implementation of the NYS ESL Curriculum will not occur.

H_6: In those buildings where ESL teachers perceive the NYS ESL Curriculum to be clear, easy to use, and consistent with their instructional philosophies, practices and materials implementation of the NYS ESL Curriculum will occur.

Use of a school-based innovation will be related to the context (environmental factors) which should provide adequate time, space, and instructional materials for the implementation of that innovation.

H_7: In those buildings where instructional space, time and materials are perceived to be inadequate by the ESL teacher, implementation of the NYS ESL Curriculum will not occur.

H_8: In those buildings where instructional space, time and materials are perceived to be adequate by the ESL teacher, implementation of the NYS ESL Curriculum will occur.

Implementation of a school-based innovation will be related to the extent to which teachers have the necessary prior training, experience, and expertise to implement the innovation.

H_9: In those buildings where ESL teachers are inadequately trained and/or are inexperienced, implementation of the NYS ESL Curriculum will not occur.

H_{10}: In those buildings where ESL teachers are adequately trained and/or are experienced, implementation of the NYS ESL Curriculum will occur.

Definition of Terms

Bilingual Education: A program of instruction for students who by reason of foreign birth or ancestry do not speak the language of a particular country. In the United States a bilingual education program consists of instruction in subject areas (such as mathematics, science, social studies...) which is provided in the student's native language. An integral part of the program must also be intensive instruction in English as a second language. Bilingual programs are conducted in many different languages in New York State, the most prevalent being Spanish, Chinese, Greek, Haitian Creole (coupled with French), and Italian. Although the maintenance of the students' ability to speak their native languages is one of the many positive aspects of bilingual programs, the learning of English is, and must be (according to both federal and state requirements), the first priority.

English as a second language: Although the more contemporary term is ESOL (English to speakers of other languages), ESL (English as a second language) is used throughout this study to designate the teaching of listening, speaking, reading and writing, in English, to students whose native language is other than English and who are

limited English proficient (LEP). ESL will be the term used in order to be consistent with the terminology used in the NYS ESL Curriculum, and with the terminology still most commonly used in the schools. An ESL program may be a component of a bilingual program or may be an independent program coupled with instruction in English for the remainder of the school day. ESL students usually receive one or more periods of ESL instruction per day. ESL should be distinguished from English as a foreign language (EFL), where English is taught in non-English speaking countries.

Limited English Proficient (LEP): This refers to students who by reason of foreign birth or ancestry speak a language other than English at home, who speak little or no English, and who score below the statewide reference point (23rd percentile) on a standardized test of English reading. However, as noted previously, this definition was broadened for the purposes of this study.

Adoption: Adoption pertains only to the decision to use an innovation (Fullan and Pomfret, 1977); an attitude of acceptance. It does not signify actual use.

Implementation: Implementation refers to the actual use of an innovation (Fullan and Pomfret, 1977). Other researchers describe methods for determining the various levels of use that implementers pass through as they move toward full implementation: for example, from occasional reference to a curriculum to the internalization of the contents of that curriculum, including adapting it to one's own instructional procedures on a day-to-day basis(Hall and Loucks, 1977).

Curriculum: For the purposes of this study, curriculum will mean the actual document (e.g., the NYS ESL Curriculum) that is produced by the New York State Education Department. In retrospect, the NYS ESL Curriculum would have been more appropriately called a syllabus (see definition). However, in order to be consistent with the title of the document, the term curriculum is used in this study.

Syllabus: Syllabus, as defined by the New York State Education Department, is an inventory of what the state regards as the minimum that should be taught to students at each instructional level, in a given subject area. Although many people use the terms syllabus and curriculum interchangeably, the New York State Education Department is currently making an earnest effort to develop and disseminate syllabi, with the intent that they will then be further developed into full curricula through a network of regional BOCES (Boards of Cooperative Educational Services) and local school districts, working closely with Department staff.

Summary

This study was undertaken to add to the existing body of implementation research with the express purpose of exploring those factors which related to the implementation of the NYS ESL Curriculum. Curriculum developers are encouraged to first establish that curriculum implementation is taking place before the evaluation of that curriculum, based on tests of student achievement, is attempted.

Chapter II: Review of the Literature

Overview

This review of the literature is organized in three broad categories:

I. Implementation of innovations and the need for studies in curriculum implementation.

II. Factors that relate to the implementation of school-based innovations.

III. Approaches to English as a second language instruction and curriculum design.

The first section begins with a description of a 1975-76 survey conducted by the New York State Education Department to determine whether teachers in various programs were using certain selected curricula and related materials developed and disseminated by the Department. This section also provides an overview of the research and writings of the following persons who are looked to by researchers as experts in the field of implementation: Rogers and Shoemaker (1971); Fullan and Pomfret (1977); Hall and Loucks (1977); Giacquinta (1973); Miles (1983); and Huberman and Miles (1984).

The second section, a discussion of many different factors that appear to relate to the implementation of school-based innovations, is organized around the variable sets being explored in this study: the nature of the assistance provided to the teacher during an attempted innovation implementation (including support and involvemnent on the part of the principal and inservice training); properties of the innovation (including the importance of what teachers perceive to be

"goodness of fit" of a proposed curriculum with their instructional philosophies and teaching methodologies); and the context in which the implementation is attempted (including the setting — availability of space, time and materials and the teacher — training, experience and area of state certification). The third section discusses approaches to English as a second language (ESL) instruction and curriculum development. A brief overview of several different approaches to ESL instruction, ranging from the traditional audiolingual approach to the more recent Natural Language approach, is provided. This will enable the reader who may not be familiar with the field to appreciate the difficulties encountered by ESL curriculum developers when trying to accomodate one curriculum to the more than thirteen different schools of thought regarding how best to teach English to a nonnative speaker. The discussion of approaches to ESL methodology and to ESL curriculum development (notional-functional, grammar-based, etc.) highlights the works of Blair (1982); Stern (1983); Hubbard (1983); Johnson (1982); Finocchiaro (1969); Stevick (1971,1976); van Ek (1975,1977); Madsen and Bowen (1978), and others.

I. Implementation of Innovations and the Need for Studies in Curriculum Implementation

The most recent statewide survey on the use of curricula and curriculum-related materials conducted by the New York State Education Department took place in 1975-76. (This is of particular significance to those who assert that there is a serious need for frequent

follow-up studies on use/nonuse, and levels of use of all curricula (and syllabi) developed and disseminated by the State Education Department, including the exploration of factors related to each end result.) One type of questionnaire surveyed teachers in grades kindergarten through twelve; another type of questionnaire was administered to administrators, including building principals; a third was distributed to teachers of occupational and adult education. The scope of each questionnaire, and some of the findings, were as follows:

Teachers in grades K-12 were surveyed to determine whether they had read one of thirteen selected state-developed curricula (eg., music teachers were asked about the Music K-6 Curriculum), and the extent to which they used that curriculum as compared with other sources when developing goals and objectives, course content, and teaching strategies. The four possible levels of response to the question of levels of use of each curriculum were "extensive use," "moderate use," "little use," and "no use." Looking only at the first response category of "extensive use" we find the following results for three randomly selected (by this writer) state-developed curricula. (Results for the other K-12 materials were, on the whole, similar.):

1. **Music K-6:** In the first category, "Develop Course Goals and Objectives," the highest ranked source to which teachers turned was "Other," with 70 percent of the respondents indicating that sources other than state curricula, such as textbooks, other commercial materials, locally developed materials, and professional journals were

used extensively for this purpose. The use of the state curriculum showed a response rate of only 15.7 percent , second to last in popularity among the six possible sources for extensive use.

In the second category, " Develop Course Content," once again the most frequently cited source was "Other," with 72.7 percent of respondents indicating this source for extensive use. The state curriculum was in last place, with a response rate of only 12.2 percent for extensive use.

In the last category, " Develop Teaching Strategies," once again "Other" was the leading source, with a response rate of 78.7 percent, while the state curriculum showed a rate of only 7.2 percent for extensive use.

2. **Guide for Planning K-6 Physical Education Programs** shows similar teacher responses to state-developed curricula. In the first category, "Develop Course Goals and Objectives," "Other" received the highest ranking for extensive use, with a response rate of 63.3 percent. The state curriculum ranked last, with a rate of 10.0 percent indicating that it receives extensive use.

In the second category, "Course Content," once again "Other" was indicated for extensive use 68 percent of the time, and was the leading source, while the state curriculum showed a response rate of 12.1 percent, for extensive use.

In the last category,"Develop Teaching Strategies," "Other" showed a response rate of 69.1 percent, while the state curriculum was once again last in the range with a 5.6 percent response rate for extensive use.

3. **Living Within Our Means** (K-6) showed similar responses. In the first category, "Develop Course Goals and Objectives," "Other" was indicated for extensive use 44.5 percent of the time; the state curriculum was last, with a response rate of 8 percent of the time.

For "Develop Course Content," "Other" led with 58.4 percent showing extensive use; the state curriculum was next to last, with a response of 10 percent.

"Develop Teaching Strategies" showed a response of 50 percent for "Other," and, although now second from the lead, the state curriculum showed only 18.4 percent, for extensive use.

It must be reiterated that there were four possible categories of response, and that this brief sampling of the responses reflects only that category that showed extensive use of any of the six sources indicated. In many instances, the state curriculum fared rather well in the category of moderate use. Furthermore, there were some exceptions to the findings. For example, **Biology, a Syllabus for Secondary Schools** showed extensive use for the categories of "Develop Course Goals and Objectives," and " Develop Course Content," leading with 61.8 percent and 69.2 percent, respectively. (In the category of "Develop Teaching Strategies," once again "Other" was the leading source, with 62.3 percent of responses indicating this category for extensive use; the state curriculum here showed a response of only 24.1 percent).

There are, of course, many possible reasons why one curriculum is used extensively, while another is hardly used at all. A publication such as the biology syllabus, for example, may receive extensive use

because the course leads to a New York State Regents examination, and teachers know that the state curriculum must be covered because its content will be closely reflected in the Regents examination at the end of the course.

In the second part of the New York State Education Department's 1975-76 survey, occupational and adult education teachers chose textbooks as the preferred source for instructional planning over each of eight different state-developed curricula 5 times; the Education Department curricula were the preferred source 2 times; and locally developed materials were preferred over state curricula 1 time. It should be noted that the possible choices in these surveys were: this publication (ie., the Education Department curriculum), textbooks, other commercial materials, locally developed materials, professional journals, and others. (That the textbook appears to be more useful to teachers than state-developed curricula bears noting, and was explored in this study when ESL teachers were asked whether they preferred the textbook as the primary source when planning for instruction.)

Since the degree of support from the building principal is found in the literature and in this research to be a key factor influencing the implementation of school-based innovations, it is interesting to note the responses (not mutually exclusive) of school building administrators to their 1975-76 New York State Education Department survey. When asked what actions they took when they received a curriculum from the state, 89.7 percent responded that they read it as soon as they received it, and 75.8 percent reported that they immediately refer it to the classroom teacher. A full 45.5 percent

of the principals said that they file it, with an additional 45 percent stating that they place it in a curriculum resource center or the school library. The next response,in rank order, was referral to subject area supervisors, 44.7 percent; while 23.1 percent stated that they refer the curriculum to curriculum administrators. An unexplained "take other action" was reported by 10.7 percent. (One wonders whether this category entails taking an active leadership role in making sure that the curriculum is implemented, since this option does not appear in any of the above responses.)

While the percentages noted above describe administrators who take one or more steps when a curriculum is received, many of the procedures, if followed to the exclusion of the others reported, are potentially "dead end" in terms of full implementation. Informal evidence points to the fact that the NYS ESL Curriculum, for example, may ,in fact, be "on file" somewhere in the very school buildings where it is assumed to be in active use on a day-to-day basis.

The New York State Education Department survey of 1975-76 attempted to determine whether or not selected state curricula were being used in the schools, in grades K-12, and in adult and continuing education programs. It also attempted to determine what actions building administrators took when they first received a new curriculum from the State Education Department. While the information gathered is of some use to curriculum developers, it falls short of exploring or explaining the reasons <u>why</u> certain choices are made at the school building level relative to state-developed curricula. And, as noted previously in this discussion, the study never explored steps taken to

effect the implementation of each curriculum, beyond asking principals what actions they took when they received a curriculum from the state, or, whether or not some curriculum-related inservice training had been provided. This leads us into further exploration of the need for studies on how innovations are implemented in the schools and elsewhere.

Rogers and Shoemaker (1971) discuss the diffusion of innovations, in general, in their text Communication of Innovations. Defining an innovation as an idea, practice or object which the individual perceives as new, the authors make a clear distinction between **adoption**, i.e., the decision to make full use of a new idea as the best course of action; **rejection**, the decision not to adopt an innovation; and **discontinuance**, the decision to cease use of an innovation after previously adopting it (Rogers and Shoemaker, 1971). The researchers also describe three main types of innovation decisions. They are: **optional**, i.e., made by an individual regardless of the decisions of other members of the system; **collective**, i.e., individuals in a social system agree by concensus; and **authority decisions**, i.e., forced upon an individual by somebody in a power position (Rogers and Shoemaker, 1971). The researchers later note that this third type of innovation decision results in faster initial adoption, but the changes are more likely to be discontinued.

The **innovation decision process**, the process individuals pass through, beginning with their first knowledge of an innovation, is presented in the Rogers and Shoemaker's (1971) model, in four sequential stages: 1. knowledge, i.e., learning about the innovation

and how it functions; 2. persuasion, i.e., where the individual forms some type of attitude toward the innovation (positive or negative); 3. decision, i.e., the individual acts to either adopt or reject the innovation; and 4. confirmation, i.e., the individuals seek reinforcement for whatever decision they have made (Rogers and Shoemaker, 1971). This decision may, of course, be reversed if conflicting information deems it necessary to do so. Although this model best fits the optional adoption decision, it may also be altered, according to the researchers, to fit the other types of innovation decisions as well.

Those within a given social system who "know" the innovation earliest (i.e., early adopters) are generally better educated and have higher social status, more social mobility, greater exposure to channels of communication, greater contact with the change agent (i.e., the professional person who is attempting to influence innovation decisions), greater ability to deal with abstractions, a more favorable attitude toward risk and change, greater social participation, and are more "cosmopolite" (sic) (Rogers and Shoemaker, 1971). Although Rogers and Shoemaker (1971) studied innovations such as the introduction of a new irrigation technique in a Third World country, it is interesting to note certain strains in their research that closely relate to the issues of school-based implementation of innovations.

The individual's perceptions of the innovation's attributes affect the rate of adoption, according to Rogers and Shoemaker (1971). If the individual perceives the innovation as a better idea

than that which it supersedes, adoption will be at a higher rate. Adoption will also be affected by perceived compatibility of the innovation i.e., whether it is consistent with existing values, past experiences and the needs of the individual. And, still other factors noted by Rogers and Shoemaker (1971) that will have a significant bearing on this study are complexity — the degree to which the innovation is perceived as difficult to understand and use; trialability — the degree to which the innovation may be tried on a limited basis prior to full adoption; observability - the degree to which the results of the innovation are readily observable to others; and rate of adoption — the relative speed at which an innovation is adopted (influenced by the nature of the communication channels used, the nature of the social system, and the extent of the change agent's efforts) (pp. 167,168). Many of the factors noted above were directly reflected in the survey questionnaire that was distributed to ESL teachers throughout New York State, as part of this study (see Appendix D).

This review of the literature turns now from a discussion of innovations, in general, and how they are implemented, to the need for specific studies on school-based innovations, such as new (or newly revised) curricula. Michael Fullan (with Glenn Eastabrook, 1973) is looked to by many researchers in this field as a key source. He noted in 1973 that during the preceding fifteen years, although there had been numerous "adoptions" of innovations in the schools, very few of the intended consequences of those innovations could be observed in what actually occurs at the school level. Part of the problem,

according to Fullan and Eastabrook (1973), is that innovations are developed external to the schools and then transmitted ; the "consumers" have very little say in the process. The results are that these "top-down" innovations rarely take hold, since the social system and the required role changes in the schools must be recognized and planned for as part of the implementation process, and they are not. The teachers must experience "unlearning" and "relearning," in order to implement the innovation, and this will cause uncertainty on their part as to their competencies to perform the new roles that may be required of them. When no inservice, time, resources and other supports are built into the process, once the change has been initiated the innovation fails to be implemented. Fullan and Eastabrook (1973) state that:

> The most effective solution can probably never come through the introduction of more and more innovations with additional resources (such as better training in new roles) because the existing systemic context of the user effectively prevents the development of these new roles once they are introduced. (p.2)

Effective implementation, according to Fullan and Eastabrook (1973), requires not so much user acceptance (i.e., decision to adopt), but user capabilities to perform new roles. Since the learning of these new roles is a developmental process that requires "...continuous involvement, choice, feedback, and commitment on the part of the user" (p.3), the user must play an active role in the entire process of innovation implementation if it is to succeed.

Fullan, Eastabrook and Biss, (1977) continued to impress upon the field the need for research in the area of implementation of innovations, and stressed that people's perceptions of an innovation should be treated as legitimate data. Furthermore, the researchers pointed to a growing awareness that "top-down" implementation (eg., from a state education department) does not work. Users must have knowledge about the central features of an innovation, must have resource support (including inservice), and there must be an understanding of the extent to which existing roles will have to change in order to effectively implement an innovation, the authors maintained. However, Fullan, Eastabrook and Biss (1977) continue, "...central decision-makers and other planners of innovation have failed to approach innovation in a way which would anticipate and confront these problems of implementation" (p. 508).

One of the most comprehensive studies in the field of curriculum implementation, Fullan and Pomfret's 1977 overview of (then) current research in the field provides a careful analysis of key studies conducted by : Charters, (1973), Berman and McLaughlin (1976), Crowther (1972), Fullan and Eastabrook (1973), Giacquinta (1973), Gross, Giacquinta, and Bernstein (1971), Hall and Loucks (1977), Naumann-Etienne (1974), Rogers and Shoemaker (1971), and others.

After clearly differentiating between curriculum adoption (decision to use), and curriculum implementation (actual use), Fullan and Pomfret (1977) present several strong justifications for the study of curriculum implementation. Among these are that:

1. We cannot know what change has taken place in the schools unless we attempt to conceptualize it and measure it;

2. By conducting implementation studies we can begin to identify factors that prevent implementation from occurring;

3. If we fail to study implementation there is a danger of implementation being confused with adoption (not uncommon), and of confusing the determinants of implementation with implementation itself; and,

4. Failure to study implementation may make it difficult, or impossible, to interpret learning outcomes and to attribute them, where appropriate, to the determinants of implementation.

Fullan and Pomfret (1977) also describe five primary dimensions of implementation in practice in terms of changes in materials, structure, role/behavior, knowledge and understanding, and value internalization. Regardless of who develops the innovation, when it is developed or how it is developed, Fullan and Pomfret (1977) maintain, some degree of implementation will have occurred when new characteristics of a social system can be observed relative to the five dimensions described.

These new characteristics are among the determinants of use/nonuse of the NYS ESL Curriculum that were applied in this study. Of particular interest to this writer is the fourth area of knowledge/understanding. Here, the authors note that many implementation studies rely only on <u>reported use</u> as a measure of implementation, and that there is a danger that these investigations may only reflect an attitude of acceptance on the part of the

respondents while, in reality, the respondents may not actually possess the knowledge and skills necessary to implement the curriculum. Charters and Jones (1973, cited in Fullan and Pomfret, 1977) warn that the absence of reliable measures of implementation such as accepting reported use of a curriculum as an indicator, may simply result in the evaluation of "nonevents."

Fullan and Pomfret (1977) conclude their analysis of (then) current research on implementation by restating the fact that current central policies (ranging from the national to the school district level), " ...at best promote adoption," and that they fail to address factors critical to implementation. The authors recommend several interrelated steps that should be taken to support more effective implementation:

1. Central policy makers should be emphasizing broad-based programs, and providing support for the local development of specific forms of implementation, thereby facilitating clarity and explicitness in innovations on the part of the users.

2. Local experimentation should be encouraged during implementation to allow for development during use.

3. Evaluation of the innovation (at least initially) should be directed toward facilitating the implementation (e.g., through data feedback), rather than for the purposes of evaluating success or failure.

4. Personal interaction, inservice, and other forms of people-based support are crucial to implementation.

Consequently, new approaches to educational change should include: longer time perspectives, more small-scale intensive projects, and, more resources, time and mechanisms for contact among the (intended) implementers (Fullan and Pomfret, 1977, pp.391-392).

Fullan and Pomfret (1977) conclude their discussion with an appropriate quotation (Williams, 1975, cited in Fullan and Pomfret, 1977): "Always think about implementation problems, and always worry that others are not thinking about them, but do not expect major improvements to come quickly" (p. 393).

More recently, Fullan (1983) published findings of an implementation study of "Follow Through" (a nationwide program in the elementary schools that followed "Headstart"). In this report, he explores factors leading to, and the degree of, implementation of "Follow Through," and also reminds the reader that implementation is multidimensional and that it depends on planned (strategic) and unplanned (contextual) factors. Such factors as differences from one site to another, including quality of staff development efforts and degree of sponsor intervention in the attempted implementation are explored. Fullan once again stresses the need for careful implementation data in order to determine the reasons for educational outcomes, and in order to draw correct inferences.

Fullan (1983) suggests that implementation be measured by (a) defining the components of the model, and (b) measuring actual practice. A checklist of essential components is provided, with each component described behaviorally and including variations that would

be considered unacceptable. Fullan also measures the degree to which the user has changed his/her practice from what it was before.

To summarize, the factors related to implementation, according to Fullan (1983), are: attributes of the model, implementation strategies (such as inservice), district and school (including the principal), and extraneous (funding, district leadership, etc.). In order to demonstrate the implementation of the innovation Fullan looks to the Hall and Loucks (1977) "Level of Use" (LoU) methodology.

Hall and Loucks (1977) noted that the only way to accurately determine if and how an innovation is being implemented is to assess each individual's use. This precludes, for example, asking a secondary source such as the building principal whether or not a teacher is using a given curriculum. Like Fullan and Pomfret (1977), the researchers caution that all too often the presence of an innovation is taken on faith, and that implementation is simply assumed once the adoption decision has been made. Interestingly, Hall and Loucks (1977) suggest that in research studies where there are findings of "nonsignificance," the findings might have been better explained if more were known about the actual use of the innovation being observed. Furthermore, failure to account for use/nonuse may, in fact, be the reason why the treatment group often appears to be less successful than the comparison group in much educational research, Hall and Loucks note.

According to Hall and Loucks (also Berman and Pauly, 1975; Deal, Meyer and Scott, 1975; Greenwood, Mann and McLaughlin,1975, all cited in Hall and Loucks,1977), observing that materials have been

purchased, that the classrooms have been rearranged, or that inservice has been provided are unreliable indicators of implementation. Hall and Loucks (1977) determine whether or not an innovation is actually implemented by assessing the individual's level of use (LoU) i.e., by focusing on what teachers actually do, not on how they feel.

Levels of use (LoU) is not a bipolar phenomenon; there are eight different levels. Through their "focused interview," the Hall and Loucks LoU procedure attempts to discriminate between the following stages: nonuse, orientation, preparation (to use), mechanical use (short-term, day-to-day use), routine use (few changes are being made in ongoing use), refinement (the user varies the use), integration (combining one's own efforts with those of colleagues), and renewal (user reevaluates, modifies, explores new goals, etc.). (A successful validity study is reported by Hall and Loucks [1977], using an ethnographic methodology and the LoU procedure.)

Tentatively, according to Hall and Loucks (1977), it appears that there may be identifiable relationships between different levels of use and the resultant student outcomes, but the authors do not substantiate this claim in their research report.

Giacquinta (1973) also asserts that the quality of research designed to test hypotheses derived from theory about organizational change is poor. Through his survey of the literature, Giacquinta finds support for his view that, "The extension of knowledge about organizational change will require empirical studies of greater theoretical, methodological, and statistical sophistication" (p.178).

Based on the literature, Giacquinta (1973) offers two tentative propositions:

1. The extent and speed at which change takes place, in any school, depends upon multiple factors: the nature of the innovation, the tactics used to introduce it, characteristics of the school members using it, and properties of the school structure.

2. A successful attempt to change a school organizationally generally proceeds in three basic stages: initiation of the innovation, implementation, and incorporation as a stable part of the organizational structure (p.179).

Giacquinta also notes that success at any one of the three stages does not always lead to success at another, and that each of the stages is influenced by the factors cited in the first proposition (above). Furthermore, he maintains, the view of the change process as a three-staged process makes clear the need for further study of implementation and incorporation of innovations in addition to initiation: "As it now stands, the study of change appears to be based on a truncated conception of the process. Moreover, critical attention must be paid to a thorough examination of the factors that block and facilitate each stage ..." (p.201).

Giacquinta (1973) concludes with a discussion of the need for greater precision in measurement of organizational change itself, including the need for specific criteria for judging the extent to which the expected change has taken place, rather than using, for example, highly subjective and personal accounts by change agents.

Specific criteria for judging the extent of change, as well as the need for a greater precision of measurement of implementation are the focus of a 1983 article entitled, "Unraveling the Mystery of Institutionalization," wherein Miles first described a study of dissemination efforts in twelve schools throughout the United States. Although this study will be discussed in greater detail in the next section of this review of the literature (see Huberman and Miles, 1984), Miles (1983) makes many observations in this article that are worthy of note at this point:

In two schools, in particular, the innovation that had been introduced was carried out, but a year later one school's program had disappeared; in the other school the program had continued, and was "built in." Miles (1983) asks the critical question, Why?, and, like Fullan and Pomfret (1977) and Hall and Loucks (1977), observes that most research deals only with how innovations are first adopted. Recent studies are on implementation, Miles (1983) maintains, but none seems to go one step further, to institutionalization, i.e., becoming "built in" to the life of the school. He also reflects on the commonly held notion that a "good" innovation that its users endorse will "somehow just stay around," and further states that, " There has been overemphasis on user ownership, involvement, and technical skill; the organization-level structural and procedural changes required for institutionalization have stayed vague and mysterious" (p. 16).

Miles (1983) describes the causal networks that he and his associates developed to illustrate the course of events during

implementation leading to institutionalization. The results of the studies conducted in the twelve school sites cluster into four "families," according to their approach to institutionalization:

1. Mandated stable use: Use of the innovation was required, and stability was maintained in personnel and in their use of the innovation. A powerful central office administration applied pressure on users, but also provided substantial assistance to the users.

2. Skillful committed use: Although use of the innovation was not mandated, time and energy were spent assisting users and developing their commitment.

3. Vulnerability: The innovation had no protection when funding was withdrawn or when strong advocates of the innovation left the district.

4. Indifference: Administrators did nothing to show their interest in, or support for, the innovation. (pp.17,18)

The highest outcomes in terms of institutionalization of the innovations were to be found in scenarios resembling numbers one and two. Miles (1983) and his associates extracted 20 key variables from the four families, from administrative commitment to warding off threats (such as funding cuts) from the environment. They applied their model to the twelve sites and made a prediction for the following year about the degree of institutionalization they would find. In seven of the sites the predictions were highly confirmed; in three the confirmation was moderate to high.

The causal models developed by Miles and his associates have great potential for helping to unlock the mysteries of school-based

innovations that do or do not become institutionalized. This first section of the review of the literature concludes with a discussion of Huberman and Miles' Innovation Up Close: How School Improvement Works (1984). This definitive text is an abridged version of a three-year field study funded by the U.S. Department of Education which was originally published in 1982.

As noted previously, Huberman and Miles (1984) studied efforts to improve the schools in twelve sites throughout the United States. They used field research techniques (interviews, observation and documentation) to study the sites at different points in their history throughout the year of the attempted implementation. Six potential outcomes were observed: stabilization of use, percentage of use, institutionalization, student impact, user capacity, and change and job mobility (among those directing and/or participating in the implementation effort). The Huberman and Miles (1984) model assumes that transformation, such as the implementation of an innovation, produces distinct outcomes.

The 34 research questions pursued by Huberman and Miles (1984) covered six categories: (the initial effects of) local context, properties of the innovation, and the nature of the internal and external assistance provided, (to study a process that began with) adoption, (progressed to) transformations, and (ended with) stabilization of use. (The first three categories are the theoretical basis for the variables which were explored in this study.)

Huberman and Miles (1984) found that the decision to adopt, which begins the implementation process, was usually made by central office

administrators. In 5 of the 12 cases teachers did not participate in the decision in any way; in only 1 case the teacher was the "pioneer." The reasons given most often by administrators for adoption were that it "improves classroom instruction" (51 percent of the respondents), and that it "improves school capacity" (24 percent). The users (i.e., the classroom teachers) however, responded with, "administrative pressure" (62 percent), when asked why they adopt innovations. Only 29 percent of the teachers gave "improves classroom instruction" as their primary reason for adoption of an innovation (p. 49). In spite of this difference in motives, for most users the innovation was important, and initial attitudes toward it ranged from neutral to positive.

Six variables were identified as characteristic of the adoption process: salient features of the innovation, initial sizing up of the innovation, goodness of fit (user and classroom level), perceived changes anticipated (at the classroom and at the organizational level), and goodness of organizational fit. (The researchers note that "salience" was later dropped, and the category of "other" replaced it.)

Among the conclusions drawn by Huberman and Miles (1984) were that initial perceptions of the innovation influenced whether or not users were inclined to put the innovation into action. Also, there was a distinct difference between the administrator's initial view of the innovation and the teacher's, with the administrator viewing it as far less complex and less difficult to implement than the user. Typical difficulties expressed by users during the initial adoption

stages were: "vagueness" and "unintegrated fragments" and doubts about one's stamina and adequacy to effectively implement the innovation.

Huberman and Miles (1984) cite factors that led to a smooth start in the early use of the innovations at certain sites. They were: adequacy of resources and materials, better classroom organization and "fit," less change in practice required of the teacher, latitude for making changes (where necessary), and smaller scale of project. Factors noted in "rough starting" sites were: lack of user commitment and understanding, lack of materials, inadequate skills and training, and undue administrative pressure. The researchers note that ongoing assistance and inservice were beneficial in reversing the rough start, but found that in the initial stages of implementation, training is less crucial than prior experience. They further observed that assistance is more likely with large, practice-changing innovations, where there is little latitude for change. (For example, one might assume that a district-wide adoption of Mastery Learning techniques would generate a great deal of teacher assistance; the dissemination of an ESL curriculum would not.)

Huberman and Miles' (1984) discussion of the later stages of implementation is cross-referenced to the Hall and Loucks' (1977) LoU procedure (discussed previously). At the later stages, according to Humberman and Miles (1984), the user's concern shifts from self to the task at hand, and one attempts to "reach up" and "extend." The process is not linear, and is compared with the process of mastery that takes place when one learns to drive a car, with the different skills finally coming together. However, the researchers warn, even

if there is mastery of the innovation, school and district factors may still intrude and impede implementation.

Huberman and Miles (1984), in conducting this research, identified, catalogued, and prepared causal network diagrams which demonstrated positive and negative factors which lead to, or prevent, the implementation of school-based innovations. Their meticulous study will assist researchers in their efforts to predict whether or not an innovation will be implemented, and to plan implementation efforts in accordance with these findings.

II. Factors That Influence the Implementation of School-Based Innovations

In this section of the review of the literature, specific factors that have been found to influence the implementation of school-based innovations will be cited. These factors are presented in accordance with each of the three categories of variables being explored in this study, and justification for the inclusion of these factors in the teacher survey that was administered as part of this research effort is provided. (Sources cited in the preceding section, such as Fullan and Pomfret (1977), will not be discussed extensively, in order to avoid redundancy.)

Nature of Assistance Provided: Inservice Training. Among the most frequently cited tactics that appear to be effective in bringing about the implementation of school-based innovations, such as a new curriculum, is inservice training (continuous inservice, rather than a single workshop). Solomon, Ferritor, Heann

and Meyers (n.d.), Crowther (1972), Cole (1971), Hamingson (1973), and McDonald and Walker (1974) (all cited in Fullan and Pomfret, 1977) found that inservice training was significantly related to degree of implementation.

Berman and Pauly (1975) found that the amount of staff training was related to teacher change, although not to perceived success or perceived fidelity of the implementaion. (Fidelity is defined by Fullan and Pomfret [1977] as the extent to which actual use of the innovation corresponds with the intended use.) However, the Berman and Pauly (1975) study does reinforce the hypothesis that ongoing training which is linked to problems encountered in the initial stages is an important factor in the implementation process, and shows that the interaction of staff training and frequent meetings relate to the success of the implementation, and to fidelity.

Several unpublished theses and dissertations focus on the impact of inservice training on implementation, notably: Landes (1981), Crowther (1972), Wallace (1977) and Holland (1980). Landes (1981) studied implementation of an energy education curriculum, focusing on implementation that did or did not follow an inservice workshop, and found that demographic variables, in particular, were of little importance in predicting implementation, especially when compared with the importance of sources of information such as ongoing inservice. Crowther (1972) examined the implementation of an elementary social studies curriculum, and found that inservice training prior to implementation was significantly related to the degree of implementation. Wallace (1977), who explored teachers' perceptions of

inservice components, found that providing teachers with opportunities to make choices about curriculum (i.e., feedback) was viewed by teachers as a worthwhile component in school-based inservice education, and that teachers' views of the worth of school-based inservice components did not differ when grouped according to years of full-time teaching, level of professional education, and amount of time in the program. And, Holland's (1980) study revealed that teachers prefer themselves or other teachers as the best source of information, as opposed to training by "experts." Among the reasons given by teachers in Holland's survey for rejection of an innovation was that it was dictated by administrators in a "top-down" fashion, without any opportunities for teacher feedback.

Feedback mechanisms, particularly those that are provided by district coordinators and consultants, also emerged as an important component of inservice training in studies by Shipman (1974), Gross, Giacquinta and Bernstein (1971), and Berman and Pauly (1975) (all cited in Fullan and Pomfret, 1977), as were regular staff meetings that provided opportunities for peer group interaction.

The impact of inservice training on implementation was also reported on by Pratt and others (sic) (1982), in their analysis of two comprehensive, multi-institutional collaborative efforts for school improvement in Jefferson County, Colorado, and in the Palm Beach County, Florida Schools. While the schools were implementing locally developed curricula, the researchers at the Texas Research and Development Center in Austin, Texas, were investigating the implementation process and also providing inservice training. The

researchers' Concerns Based Adoption Model (CBAM) was used to analyze what occurs at the individual and classroom level when innovations are introduced. Highlights of their findings were as follows:

1. Change is a process, not an event.

2. The change process must be understood from the point of view of the participants.

3. Personal feelings and perceptions must be considered.

4. The change process entails development and growth of feelings about the innovation as well as the ability to use it.

Based on their findings, Pratt et al. (1982) maintain that facilitators must intervene by way of workshops, memos, consultants who are available in the hallways, and so on. In the Jefferson County site, in fact, after initial inservice there was a planned series of "comfort and caring" visitations by science department staff to continue the ongoing training. Since the patterns that individuals go through, according to Pratt et al. (1982) are somewhat predictable, implementation activities (such as inservice) can be planned to match the development of the individuals. Furthermore, in this case, "top-down" efforts to implement curriculum were successful, mainly because of the well-planned training intervention.

Zaltman, Florio and Sikorski (1977) are also strongly in favor of providing inservice training in support of school-based innovations: "Teachers are charged with implementing the school's education and socialization functions; they are the most significant human factors in the operation of school organizations" (p. 4). And yet, as Zaltman et al. note, although teaching is highly interpersonal, for

most of the working day teachers are isolated from their peers. This is in spite of the fact that inservice training, institute days, attendance at conferences, and other opportunities for outside contacts were all deemed essential in study after study, as avenues toward the implementation of innovations, according to the researchers.

Nature of Assistance Provided: The Principal: The need for strong leadership on the part of the building principal, in support of a school-based implementation effort, is well-documented by : Fullan and Pomfret (1977), Landes (1981), Crowther (1972), Simms (1978), Sulyma (1972), Naumann-Etienne (1974), Evans and Scheffler (1974), Benson (1981), Berman and Pauly (1975), Oliver (1965), Pratt et al. (1982), Miles (1983) and, in their Effective Schools research, Ronald Edmonds (1979) and Lawrence Lezotte (1985) (both cited in Sudlow, 1985).

When Benson (1981) examined the positive administrative and organizational factors in schools where students' proficiency scores had increased, the characteristics of the principals, including their administrative methods (i.e., leadership), were found to play a major role in implementing change. Title I schools with a large number of disadvantaged children were the primary focus of Benson's (1981) study, and he found that, contrary to the views of Coleman and others, schools can make a difference. A large part of that difference was attributed to the principal's leadership.

In their 1975 report on the nationwide implementation of 293 different federally-funded educational programs, Berman and Pauly refer to elementary school principals, in particular, as the

"gatekeepers" of change, either facilitating or impeding implementation. In their quantitative studies as well as field studies, the principal's opposition to projects sharply increased the prospects for failure; active (or even) passive support was crucial for perceived success.

In the Pratt et al.(1982) Texas Research and Development Center study, not only was the leadership of the principals important, but their active participation in the inservice training being conducted for the teachers was also of great importance to the success of the innovation:

> The school improvement efforts described in this paper place heavy responsibilities on the school principal. In addition to their normal job load, they must shoulder major new responsibilities and use specialized skills to effectively facilitate school improvement efforts.
>
> To prepare principals for this intensive role and to help them carry it out requires specialized training that can only be effective if provided over time and closely linked to follow-up and on-the-job coaching. In both the JeffCo [Jefferson County] and Palm Beach experiences principal training was seen as crucial. Palm Beach learned from JeffCo and did even more principal training early in their effort. Both districts would argue that even more attention should be given to principals in future improvement efforts. (p. 73)

Oliver (1965) discusses the conditions which are conducive to change, and also stresses the important role played by the building principal in the implementation process:

> Statement after statement from educators places the principal in a "make or break" position. His indifference can dampen enthusiasm. His opposition can stifle enthusiasm. His energy can keep a faculty alive and active. His skill in democratic leadership can foster a genuinely cooperative spirit. (p.442)

When Miles (1983) described the 20 key variables that he studied, in one of his 12 sites, in particular, he demonstrated how institutionalization was approached by providing supports and warding off threats. Miles (1983) refers to a causal chain which begins with administrative commitment, which leads to both administrative pressures on users and administrative support (usually in the form of direct assistance to users). Both the pressure and the support then lead to an increased user effort which, in turn, leads to an increase in user commitment. The chain continues, leading finally to increased user mastery, stabilization and institutionalization. Furthermore, Miles states, where administrators are committed to the innovation they take many direct steps to pave the way for implementation, such as providing for inservice, and making sure that necessary materials and equipment are available.

Miles (1983) does not suggest that administrative commitment is sufficient to bring about implementation, but he does assert that it is a necessary condition, as we can see in the above scenario. Miles

adds that the administrator, by making clear-cut changes in organizational structure, rules, and procedures, helps to stabilize the innovation and guards, for example, against the threat to institutionalization that is posed by frequent staff turnover.

Finally, the Effective Schools movement in New York State, under the leadership of the New York State Education Department and currently (1987-88) underway in approximately 500 New York State schools, focuses on the specific correlates that define an effective school (see Appendix C). The late Ronald Edmonds (1979) identified five correlates; Lawrence Lezotte (1985) describes seven; and, the New York State Education Department outlines eleven correlates of an effective school. Whichever set of correlates one follows, all three sources specifically cite strong instructional leadership on the part of the building principal as key to school improvement (which, it is assumed, includes the implementation of school-based innovations).

Properties of the Innovation: Fullan and Pomfret (1977) include the knowledge and understanding that the users have about the various components of an innovation (e.g., objectives, subject matter, organizational components...) as one of their five dimensions of implementation, and cite Cole (1971) and Crowther (1972), both of whom attempted to measure this dimension by asking teachers direct questions about their knowledge and understanding of a specific curriculum.

Crowther (1972) examined the significant relationship between the teacher's perceived complexity of an elementary school social studies curriculum in Alberta, Canada, by using a questionnaire procedure,

with an eleven-item inventory that reflected the major distinguishing features of the curriculum. Teachers were asked to indicate the degree of emphasis they gave to each feature of the curriculum, using a five-point scale. They were then asked to indicate their degree of implementation of the curriculum.

Cole (1971) also studied the implementation of an elementary school social studies curriculum, one which emphasized the inquiry, or process method, and involved changes in teacher and pupil roles. Teachers were again tested for their specific knowledge of the assumptions, principles and instructional strategies of the curriculum by asking them to agree or disagree with certain types of curriculum-related statements. Other instruments and interviews with administrators, teachers and students, to determine the extent to which pupil behaviors had changed as a result of the implementation of the curriculum, supported the findings of the original questionnaire regarding the degree of use of the curriculum.

Other studies supporting Cole's (1971) and Crowther's (1972) contention that teachers must be asked about their knowledge and understanding of a specific curriculum, that observing teacher behavior alone is not sufficient in determining the success of the implementation are cited in Fullan and Pomfret (1977). They are: Giacquinta (1973), Rogers and Shoemaker (1971), and Zaltman, Duncan and Holbeck (1973).

Mugiri (1981) found, in his study of how the properties of the innovation affected the implementation of a secondary science curriculum, that among the most serious problems perceived by the

teachers interviewed and surveyed by questionnaire was the difficulty they encountered when organizing the content of the curriculum for teaching purposes while, at the same time, preparing students for required examinations.

Finally, one additional factor pertaining to the characteristics of the innovation itself is the degree of explicitness, and whether or not teachers are able to identify and describe the essential features of the innovation they are using: Gross, Giacquinta and Bernstein (1971), Charters and Pellegrin (1973,cited in Fullan and Pomfret, 1977), Crowther (1973), Downey and Associates (1975) and Lukas and Wohlleb (1973) (both cited in Fullan and Pomfret, 1977) and Naumann-Etienne (1974) found that low explicitness of the innovation led to user confusion and lack of clarity, which led to a low degree of implementation.

Context: The Setting: Berman and Pauly (1975) specifically addressed the issues of the extent to which differences among programs explain variations in implementation; which characteristics of the various projects affected their implementation and continuation; and, whether differences in instituitional settings were related to variations in implementation. Although the projects involved in the study were widely varied -- ranging from Title VII Bilingual Education to "Right-To-Read" -- within-program variations, including differences in the institutional settings, affected implementation more significantly than did the differences between the federal programs. Furthermore, effective implementation depended

primarily on a supportive institutional setting (as well as an effective implementation strategy).

The three interrelated factors that were found to affect the outcomes of the various federally funded programs were: characteristics of the projects, federal and state policies, and institutional settings. However, as Berman and Pauly (1975) state, the most serious omission of most evaluation literature is that it fails to take into account "...the institutional setting in which innovations operate. Such major elements of the institutional setting as demographic, economic, and political conditions of the district, community influences, student characteristics, and organizational characteristics are usually neglected" (p.5). Many project evaluations focus only on educational treatments and expected student outcomes. These approaches may be "misguided," Berman and Pauly (1975) maintain and, indeed, their study does strongly support the premise that other elements of project design have a much stronger effect than the traditional focus on technology or method of instruction.

Although Giacquinta (1973) notes that the various studies (prior to 1973) which pointed to the possible effects of properties of the schools on the speed and degree of change had minimal empirical support and were, for the most part, speculative, he deems the impact of such conditions on the change process to be worthy of further study. Part of the reason for describing previous studies as speculative, according to Giacquinta, is that many of the conditions described can logically lead to opposing predictions. He notes, for

example, that job satisfaction can lead to complacency and/or a protectiveness of the status-quo, or it can lead to high morale and commitment and, consequently, a receptiveness to change.

Zaltman et al.(1977) urge the change agent to consider the organizational context from several viewpoints, the first of which is the organizational climate (i.e., the atmosphere within the target system), and the second is the organizational environment (i.e., the atmosphere surrounding the target institution). Factors to be considered when examining the organizational environment include the socioeconomic status of the community, demographic characteristics (rural, urban, suburban), attitudes of the clients and the public toward the institution and toward change and, resources available (financial, human and material). Zaltman et al.(1977) warn that the process of change is complex; to ignore the elements of a target institution is a common flaw in change efforts, since "...resistance to change derives from cultural, social, and psychological forces, within and outside of the school system itself" (p. 21).

Context : The Teacher. Another critical factor to be considered within the context of the intended implementation is the user, i.e., the teacher. The literature indicates that if the teacher has insufficient experience and/or knowledge to adequately interpret and then put the innovation to use, implementation will not take place. Furthermore, the literature suggests that lack of knowledge and/or experience will color the teacher's perception of the innovation (e.g., a curriculum), and these negative perceptions may further increase the likelihood of rejection of the innovation.

Huberman and Miles(1984), in describing the various factors that led to or impeded implementation in their twelve-site study, noted that in sites that did not start smoothly, the lack of user commitment and understanding of the innovation and users' inadequate skills and training were key contributors to initial failure. (The researchers do point out, however, that training was not as crucial as prior experience.) Huberman and Miles (1984) found that, according to teachers' comments, initial mastery-related difficulties that were reported clustered in three areas: "overload," where teachers felt that too many tasks were required in the time available, many of them to be preformed simultaneously; teachers' inability to anticipate the immediate consequences of their actions, and the need to go through several cycles of trial and error with different groups of students before consistencies would begin to emerge; and, a general lack of understanding of the innovation, with teachers failing to see how the innovation worked, i.e., how the "parts fit together." Huberman and Miles summarize the concerns voiced by the teachers, in cognitive terms: the users' understanding was "undifferentiated," i.e., the users had only a vague knowledge of what the innovation was all about and their understanding was made up of "unintegrated fragments." To quote Huberman and Miles (1984), "They were operating with a primitive mental road map that had only major thoroughfares and contained several uncharted areas" (p.74).

At one of Huberman and Miles' (1984) twelve research sites teachers expressed their difficulties in terms of adequacy (fear that they would not be successful, and concern over what others might think

of them as teachers); flaws (not being sure that they were " doing it right"); and, stamina (feeling that they could not keep up with the pace and/or demands of the innovation). Even in cases where attitudinal or cognitive readiness on the part of the teachers were present, their lack of technical readiness impeded implementation more than their attitudinal and/or cognitive readiness helped it, particularly in the initial stages.

Although Huberman and Miles (1984) noted that at two of the sites weak training and low skills levels of the teachers were definite barriers to smooth implementation, training did not appear to greatly affect initial implementation at any of the other sites. What seemed to be far more critical was the preexisting instructional or managerial skills repertoire of the users. For example, in one site where the innovation was poorly designed, experienced teachers with cumulative experience in the area of the innovation were able to adjust and add to the innovation to make it work. In one other site, where materials essential to the program arrived late, experienced staff were able to compensate for the lack of materials and coped reasonably well with the problem. Training, the researchers conclude, was found to be only a minor contributor to the success of the innovation in and of itself; it was far more influential when operating in conjunction with other, stronger variables, such as the prior skills of the teachers. It is also interesting to note that, in cases where teachers demonstrated inadequate instructional skills, it was not necessarily due to a lack of teaching experience; the problem

stemmed from the fact that their existing repertoires were inappropriate for that innovation.

This observation leads us to Huberman and Miles' (1984) "goodness of fit," and the degree to which users are required to try something that is new and radically different from their prior experience. A complete change, such as taking workbooks away from a teacher who is accustomed to using them may seriously impede implementation efforts in that classroom. (Users' perceptions that they are ill-equipped to take on a new and different innovation may, in fact, be quite accurate, one can assume.)

Huberman and Miles (1984) conclude by stating that, although general degree of teacher preparedness is not necessarily decisive in predicting the success of an implementation, it is influential. (It may not be decisive, for example, because a weakness in this area can be compensated for by the provision of resources and materials.) However, in those sites where the implementation did not start smoothly, lack of user understanding of the practice, and inadequate skills and training were important.

Giacquinta (1973) also found that the personal characteristics of organizational members had an important effect on the change process in the schools. He cites Rogers (1965) who outlined a number of characteristics identifying innovators: generally young, relatively high social status (through greater prestige ratings, greater education, or greater income), cosmopolitan in their outlook, demonstrate leadership, may be viewed as deviants by their peers and themselves, etc. (see Rogers and Shoemaker's [1971] expanded list of

characteristics, in this chapter). These and other similar characteristics, according to Giacquinta (1973), reflect the three basic personal attributes indicative of someone who is apt to be open to change: understanding of the innovation; ability to express the necessary attitudes, beliefs and behaviors; and willingness to make the effort to implement the innovation. Furthermore, although a natural resistance to change is sometimes carelessly assumed to be a primary reason leading to the failure of an innovation, Giacquinta cautions that this explanation is an oversimplification, and that the nature, causes and effects of resistance to change are too imprecise and too little understood to enable us to attribute a failure in implementation to this factor without extremely careful research in support of this.

In addition to a willingness to change, notes Giacquinta (1973), the understanding that members of the organization have about the innovation, and their ability to take on new behaviors, attitudes and values will all impact on the success of the implementation effort. Unless and until teachers go through the necessary "resocialization" (Gross, Giacquinta and Bernstein, 1971, cited in Giacquinta, 1973) of developing the necessary skills and knowledge to carry out the new roles required of them, innovations will not take hold. Resocialization is critical, states Giacquinta, and is often overlooked in favor of retraining. In summary, one of the four major variables upon which the extent and speed of change depends is the characteristics of the school members using it.

Fullan and Pomfret (1977) discuss the role of individual staff characteristics at length, as one of several sets of variables to be considered relative to the context in which implementation is attempted. Although Fullan and Pomfret (1977) note that most studies to date (i.e., 1977) infer an interconnection, or report on it through anecdotal evidence rather than measuring the direct impact of teacher characteristics on implementation, they cite pertinent studies, among them, Crowther (1972), and Lukas and Wohlleb (1973). Both studies suggest that not all teachers have the same ability or propensity toward using an innovation. The teacher's value orientation in relation to the innovation and type of previous training are cited as important factors to be considered in implementation studies.

The capacity to use an innovation was also found to be one of the most problematic aspects of attempted implementation in studies by Charters and Pellegrin (1973), Gross, Giacquinta and Bernstein (1971), and Downey and Associates (1975) (all cited in Fullan and Pomfret, 1977). These researchers found basic teacher preparation and development to be a critical factor in the success or failure of an implementation effort.

Age and level of education do not appear to relate directly to effective implementation, according to Crowther (1972), although other researchers suggest that these characteristics should be explored (Lukas and Wohlleb, 1973, cited in Fullan and Pomfret, 1977).

Simms (1978) examined the degree to which an authority-adopted innovation is actually implemented by its designated users. Teachers were asked the extent to which they felt that they understood the

underlying philosophy of the curriculum; whether they could recall and restate in their own words any of the objectives of the curriculum; whether they thought the objectives could be achieved through the curriculum, and how difficult they felt the curriculum was to understand and implement. Although Simms' study points to the principal as the key to implementation, it also shows a strong correlation between the extent to which users utilized an innovation (e.g., a new curriculum) and the extent to which they understood it, supported it, and possessed the required competencies for ongoing use.

Gross, Giacquinta and Bernstein (1971) reported on their efforts to isolate factors that facilitate or inhibit implementation in a report on an innovation introduced into the elementary schools. They note that, traditionally, the literature on organizational change has focused heavily on the inability of the change agent to overcome members' initial resistance to change. However, Gross, Giacquinta and Bernstein (1971) warn that this is an oversimplification of the problem and, like many researchers (e.g., Zaltman et al., 1977), they urge the study of the many variables that impact on the success of an innovation. In fact, the researchers state, those who were <u>not</u> resistant to change initially, may have had so many obstacles to overcome that they eventually became as negative as the initial resisters; teachers' lack of motivation grows with increasing frustration.

At one of the sites studied by Gross, Giacquinta and Bernstein (1971), the lack of effort to implement led the researchers to conclude that the situation could be directly attributable to five

circumstances, the first two of which were the teachers' lack of clarity about the innovation, and their lack of the skills and knowledge necessary to implement it. These conditions were found at the onset and persisted throughout the implementation effort.

Herron (1971) found that new curricula were not being used by teachers because of differences in their perceptions of the structure, goals and basic philosophy of the new course materials. Herron also found that the teachers in his study had little knowledge of the foundational aspects of the innovation in question, and what they actually did in practice bore little resemblance to the intended use of the innovation. Furthermore, he describes the "typical" curriculum development cycle, wherein teachers are not involved and, therefore, have little loyalty to the finished product. Teachers seem to act as a filter, according to Herron, between curriculum writers, their materials, and the "consumer," i.e., the student.

Specific characteristics of the teacher was also one of the foci of Landes' study (1981) in which she describes what teachers considered to be important in their decision as to whether or not to implement a school-based innovation. Ability to predict implementation of a course of study requires an examination of teacher knowledge and attitudes relating to what they teach (among other factors). Grade level, types of previous teaching experience, self-reported knowledge of subject area and years of teaching experience were among the factors found to be worthy of study, according to Landes. Landes also cites Fullan and Pomfret's (1977) findings, to the effect that even though the range and rationale for the inclusion of individual

characteristics in implementation studies remains to be developed they should be included in such analysis. As Landes observes, the fact that results are inconclusive when one reviews studies relating such factors as the teacher's years of experience to the level of implementation in that teacher's classroom indicates a need for further exploration of this area in order to identify those factors that <u>will</u> encourage implementation.

Holland's study (1980) suggests that curriculum developers must know what teachers perceive to be important, and she argues that teachers' self-reported information needs must be taken into account by those attempting implementation. Holland enlisted the services of graduate students in education to perform an item sort of questions that teachers should be asked prior to implementation efforts. Among the questions selected as important were those relating to the following: whether the teachers automatically reject a curriculum that is "foisted" upon them; whether, given the choice, teachers would probably select the curriculum that is most congruent with their teaching styles; whether the teacher has ever served on a curriculum development committee; whether the materials needed for implementation are readily available in the school; whether the teacher tends to reject inservice provided by experts from outside the school or district; what the channels of communication are within the school; and, who is the primary source of information in the teacher's subject area in the particular school. (As noted in an earlier discussion of the importance of inservice, in Holland's study the teachers preferred

themselves or other teachers as the best source of information to so-called "experts" from outside the district.)

Berman and Pauly (1975) explored both school and classroom characteristics, such as the size of the school, innate attributes of the students, and characteristics of principal actors (principals, teachers, project leaders). Although the researchers maintain that their sampling and survey instruments were not designed to test the importance of personal characteristics, the customary background data was elicited: age, experience, race, ethnicity, and sex of the principal actors. Interestingly, the only attribute that was found to make a difference in this general category was the number of years the teacher had been teaching.

Innovations were not "teacher-proof," according to Berman and Pauly (1975); the organizational climate, as evidenced by teachers' willingness to put in extra effort, teacher morale, and other factors such as the commitment and support of the participants were all critical to successful implementation.

Finally, Zaltman et al.(1977) emphasize the importance of individual characteristics of the members involved in and affected by change in the organization, stating that an awareness of these characteristics is critical for the change agent. Zaltman et al. further stress the need for an understanding of the individual personal characteristics in addition to the customary analysis of the aggregate membership of an organization. Zaltman et al. (1977) offer 13 individual characteristics of members of school organizations: innovativeness, teaching style (subject matter-oriented, or other),

teaching environment, degree of interaction with professional peers, cosmopolitan orientation (e.g., involvement with external affairs), source of satisfaction from work (liesure time, money, etc.), nature of the motivation to work, willingness to take risks, authority to act, interpersonal relationships with peers (open or closed), awareness of current developments in the field, general feelings of efficacy, and the sources of information (re the community, the profession, etc.) (pps.17,18). (Zaltman et al. do not, however, include information on the number of years' prior experience, degree of training and experience, or other related factors, although one might infer that these factors will have an influence on several of the above characteristics.)

We conclude this discussion of the context of the innovation, including both the school setting and the teacher's characteristics, with an appropriate quotation from Zaltman et al.: "The problem of educational change is complex. The neglect of the elements of a target institution and their configuration is the basic flaw in many change perspectives" (p. 20).

III. Approaches to English as a Second Language Instruction and Curriculum Design

We turn now to the primary focus of this research, the New York State Core Curriculum for English as a Second Language in the Secondary Schools. In order to fully understand the complexities of this curriculum and of its attempted implementation, it is helpful

for the reader to have some awareness of ESL philosophies and practices, past and current.

The field of ESL has undergone revolution and evolution within the past fifty years alone. It was hypothesized by this researcher that the philosophy and methodology espoused by a particular ESL teacher, and whether or not that teacher perceives a given curriculum to be relevant to his/her way of thinking and teaching, will have a strong impact on the degree of implementation of that curriculum. This is particularly true in the field of ESL because so many of the methodologies are diametrically opposed to one another. A brief overview of some of the more prevalent approaches to ESL instruction follows:

The applied linguistics approach to the teaching of language (Stern, 1983, Stevick, 1971,1976) can be traced as far back as the 16th Century, and is still readily observable in the widely used audiolingual teachnique wherein the instructor "models" a linguistic item (e.g., a grammatical structure), and the student practices it repeatedly through a wide variety of pattern drills until the new bit of language becomes a "habit" (Finocchiaro, 1969, Hubbard, Jones, Thornton and Wheeler, 1983). Also characteristic of the audiolingual method is the sequence that must be followed: students first listen, then speak, then read and then write. Drilling follows a stimulus - response - reinforcement procedure, with students progressing from simpler to more complex linguistic forms. Once a linguistic "habit" has been formed through repeated practice, the student is expected to

produce examples of that pattern, and is then assumed to be fluent in that pattern (Hubbard et al., 1983).

Hubbard et al. (1983) also describe the grammar-translation method, which consists of giving students paradigms, i.e., lists of forms arranged according to a grammatical pattern, grammatical rules (such as when to use "some," or "any") and facts about the language that are, according to the authors, often inconsistent and confusing. More recently developed techniques such as the Silent Way, developed by Caleb Gattegno (Blair, 1982; Gattegno, 1963,1976; Stern, 1983; Stevick, 1976;) place more of an emphasis on the learner rather than on the teacher, and represent a radical departure from the "mimic-memorize" approach, since here the teacher "models" only once, if at all, and the students must be alert, deduce the answers from the learning materials (colored rods, charts on which each color represents a specific sound of the language...) and/or the responses of other students.

Another approach to the teaching of language which departs radically from the traditional is closely related to the Rogerian method of non-directive teaching, and is known as Counselling Learning, also referred to as Community Language Learning (Stevick, 1976, Stern, 1983). Originated by Charles Curran, this approach focuses on the helplessness of the nonspeaker of a new language, especially the adult, who is reduced to a level of linguistic infancy. In Community Language Learning, the instructional design is based on the learner's immediate need for a particular utterance in the new language, in order to communicate. At first, the instructor

provides an immediate translation into English for the students so that they may express themselves. What is especially significant in this approach is that, unlike traditional grammar-based approaches to language teaching, Community Language Learning introduces and teaches any structure of the language (or vocabulary) that is needed by the student at that time, regardless of its complexity. (The NYS ESL Curriculum, in contrast, does not introduce more complex grammatical structures or vocabulary until the intermediate or advanced levels.)

A proponent of the Natural Approach to language teaching, Tracy Terrell (cited in Blair, 1982) maintains that the preoccupation with grammatical correctness, especially in the early stages of language teaching, is more a result of the teacher's assumption of what the student needs than of actual student needs. In fact, Terrell argues, neither language learners nor most native speakers of a language find grammatical correctness to be essential to communication. Terrell reminds us of the foreign language courses in American high schools that have traditionally stressed morphology and syntax, the result being students who lacked "communicative competence" (i.e., understanding the essential points of what a native speaker is saying and responding in such a way that the native speaker can interpret the dialogue). Only on rare occasions, Terrell maintains, are errors such as verb-subject agreement, for example, a cause of difficulty for native speakers . Even if first-year language learners could learn all of the grammar and syntax taught to them, it is doubtful that they could control them in their actual speech, Terrell argues.

Yet another unique approach to second language instruction, is John Asher's Total Physical Response (cited in Stevick, 1976). With learners carrying out verbal commands with their entire bodies, both comprehension and retention appear to be greatly enhanced, according to Asher's research. A physical response by the learner, Asher argues, is essential for memory, as opposed to "passive learning" where more than 99 percent of sensory input to the brain is quickly forgotten.

Several additional methodologies remain to be explored, but in the interest of brevity we will conclude with a summary based on Stern's (1983) overview of recent and current trends in language teaching, from 1880-1980. Stern observes that, although there are many different strands of development in language instruction techniques, with variations among countries, languages and institutions, there are, nevertheless, many common features as well. In Figure 2, illustrating change and innovation in language teaching over a 100 year span, Stern attempts to demonstrate how, in the 1980's, the concept of communication emerges as a rallying point for all the various strands of methodologies. However, Stern cautions, this still does not mean that we have seen a genuine synthesis.

Approaches to English as a Second Language Curriculum Design

What does all this mean to the ESL curriculum developer? How can one ESL curriculum possibly be acceptable and useful to all ESL teachers? To further demonstrate the magnitude of the challenge of developing a statewide ESL curriculum that will be useful to all ESL teachers, regardless of their preferred methodology, two approaches to

Figure 2. Change and innovation in language teaching: 1880-1980.

A sketch of recent and current trends: 1880–1980

Period	*Decade*	*Main features*
I	1880–1920	Reform/Direct Method Phonetics
II	1920–1940	Compromise Method Reading Method BASIC English Modern Foreign Language Study (U.S.A./Canada)
III	1940–1950	Linguistic approach to language teaching American Army Method. Intensive language teaching
	1950–1960	Audiolingual (U.S.A.) and audiovisual (France/Britain) methods FLES Language laboratory Psycholinguistics
	1960–1970	Audiolingual habit theory *vs.* cognitive code learning (Carroll 1966) Impact of Chomsky's theory. Sociolinguistics Method research (Scherer-Wertheimer, Pennsylvania Project, etc.) Method analysis (Mackey 1965)
IV	1970–1980	Breakaway from method concept → New methods

Curriculum emphasis	*Human relations emphasis*	*Language learning research emphasis*	Silent Way
Speech acts	Individualization	First and second languages	Community Language Learning
Needs analysis	'Autonomie de l'apprenant'	Child and adult Acquisition/learning	Suggestopedia, etc
Discourse analysis	'Humanistic techniques'	Error analysis	
Language for special purposes		Interlanguage studies	
Immersion			
Proficiency levels			

1980 → Communicative Approaches

(p. 113)

ESL curriculum design that provide a clear contrast to the NYS ESL Curriculum will be described. They are, the van Ek and Alexander Threshold Level English (1975) and the van Ek, Alexander and Fitzpatrick Waystage English (1977); and Johnson's Communicative Syllabus Design and Methodology (1982).

The 1971 Council of Europe Modern Languages Project meeting on the teaching of foreign languages to adults was followed by a series of studies which led to the 1975 publication of Threshold Level English. "Threshold" was defined as the lowest point of language ability; the point at which the learner can begin to use the language. This was followed by a further subdivision into "waystage" English, which falls somewhere between zero level competence and threshold level, but which enables the language learner to have some limited contacts with native speakers in order to maintain social contacts (van Ek et al., 1977). Trim's introduction to Threshold Level English points up the stark difference between the Council's approach to ESL curriculum development and more traditional grammar-based approaches. He states that the development of the "Threshold" concept:

> ...remains a most powerful tool for those teachers and course planners who are converting language teaching from structure-dominated scholastic sterility into a vital medium for the freer movement of people and ideas, and for those language learners who travel faster and more purposively for knowing where they are going. (p.viii)

The "Threshold" and "Waystage" approaches to ESL curriculum design share a common view of foreign language ability as a skill.

not a knowledge, and a great deal of stress is placed on what the learner has to do, i.e., behaviors. These behaviors are also referred to as functions, such as asking questions, giving commands and apologizing. Coupled with these functions are notions, i.e., what is expressed, or referred to (sometimes labelled "concepts"). Notions include such things as apologizing for being late, apologizing for being late to a party, and apologizing for being late to a party last week. Notions are further subdivided into those that are specific (determined by the topic, e.g., the airport), and those that are general (e.g., something is located behind something else) (Hubbard et al., 1983, van Ek and Alexander, 1975, Stern, 1984).

In addition to the general and specific notions, application of the "Threshold" and "Waystage" instructional models must, according to the Council, include choices regarding the target group of learners, settings, topics, language activities, language functions and the roles the learners will be playing. (These roles range from stranger/ stranger conversation to that which occurs between friends.) The roles the learner will be playing are particularly important, and the instructional items that are presented in the curriculum are selected to enable the learner to do as many things as possible, early on. For example, instead of teaching learners how to introduce themselves (a language function) three different ways, they are taught three different language functions, one way each.

In reflecting on the many different approaches to language teaching, van Ek et al.(1977) state that, "There are many roads to Rome, but some are more direct than others and quite a number never

arrive at all" (p. 85). The developers of the "Threshold" and "Waystage" syllabi refer to a syllabus (curriculum) as "...some of the raw facts of language..." (op.cit.). The processing of these "raw facts," they maintain, requires the consideration of the "Why? " (priorities in selecting instructional items), the "What?" (the overall framework of what to teach) and the "How?" (methods of teaching).

The "What?" is referred to (van Ek et al., 1977) as the "orthodox" syllabus when coming from an agency (such as the New York State Education Department). It usually consists of grammatical and lexical inventories. In direct contrast, the authors maintain, are the "Threshold" and "Waystage" syllabi which bring together other factors considered to be indispensable, such as social behavior, i.e., the rules for use to accompany the grammar. Yet, it is interesting to note that the developers of these syllabi acknowledge that the end results of the traditional course which teaches listening, speaking, reading, writing and grammar may not necessarily differ much from those obtained from a good notional/ functional course. However, they remind us, the grammar-based curriculum chooses grammatical items because they are considered to be important, whereas the notional/functional course chooses instructional items because of communicative validity, and the sequence of teaching, in particular, will be different.

Johnson's Communicative Syllabus (Johnson, 1982) also focuses on language use, rather than on grammatical structures. Johnson provides

an excellent summation of the difference between the two in the following examples:

1. Be quiet.

2. Have some coffee.

3. Give us this day our daily bread.(p.23)

As Johnson notes, all three examples are structurally similar, representing the imperative form of sentence construction, yet they are also radically different in the ways in which they are used. The first is an order, the second is an offer, and the third is a plea. Conversely, the next three sentences are structurally dissimilar, yet are used in the same way:

1. I hope you will close the window.

2. Would you close the window?

3. It's cold in here! (p.24)

Johnson's (1982) argument for the communicative syllabus builds with his dramatic description of a fictitious computer which could, theoretically, be programmed to speak grammatically correct sentences at all times. The computer would never make a grammatical error but, at the same time, it would not understand the appropriateness of one linguistic item or another in a given context. Such a computer would not understand the roles people play, such as a friend talking to a friend, topics, or different settings in which the grammatically correct language must be used.

Johnson's (1982) defense of the communicative syllabus is strong and yet, interestingly, he does not advocate the rejection of the traditional grammar-based syllabus as an inevitable trade-off. The

organization of a communicative syllabus along functional, setting and notional lines continues to be an area of uncertainty for the grammar-based curriculum developer, says Johnson, but he offers some examples of how this might be accomplished, stressing, once again, that the grammatical structures are taught because they are useful, when and where they are needed, not because they are included in an inventory of structures organized by instructional level (as in the NYS ESL Curriculum).

Johnson (1982) applies the term "cost effectiveness" (p.63) to his selection criteria when determining which is the most beneficial (to the students) system of curriculum organization. In other words, which curriculum makes the best use of the available instructional time? He advocates the use of the notional design at the beginning levels of ESL instruction, and a functional design as students progress to more advanced levels. We should, according to Johnson, be thinking about a "multi- dimensional" syllabus. (This would be most unusual in a state-developed curriculum, wherein the information provided for each instructional level is usually in the same format as the level which preceded it, in order to provide continuity.) The end result would be, says Johnson, a freedom to shift orientation, and a resultant move away from the traditional one-dimensional stress on structural correctness. Providing that the shift does not occur so often that it confuses the students, it can provide for a new flexibility in English language instruction, Johnson maintains.

In a final, and most convincing argument for the communicative syllabus, Johnson (1982) points out the inherent weaknesses in the

traditional grammar-based syllabus : The student must wait too long "...before he reaps the full value of his investment" (p.117). In other words, the students may be able to produce a number of grammatically correct sentences, but may not know how to use them appropriately in real-life situations.

In this study, questions were included in the survey of ESL teachers to elicit information on the teachers' perceptions of the NYS ESL Curriculum. For example, teachers were asked if the Curriculum was, in their opinion, too heavily focused on the teaching of grammatical structures; reflective of the latest research in language acquisition and ESL methodology; and, adequately addressing the notional/functional aspects of the ESL instructional program. These and other questions were deemed important, by this researcher, in determining whether teachers' perceptions of the NYS ESL Curriculum had impacted on their implementation of the Curriculum, as the literature predicted it would.

Summary

This review of the literature focused on three broad areas: the implementation of innovations, and the specific need for curriculum implementation studies; factors that have been found to relate to the implementation of school-based innovations; and, approaches to ESL instruction and curriculum design. As the literature demonstrates, the implementation of school-based innovations is an extremely complex process.

The first of the specific factors investigated in this study of the implementation of the NYS ESL Curriculum is the nature of

assistance provided to teachers, through inservice training and through the building principal's support. Both forms of support were found to be important to the implementation of school-based innovations, in much of the literature. Furthermore, the literature suggests that since the patterns that individuals go through during the implementation process are somewhat predictable, implementation activities such as inservice can be planned to match the development of the individuals. It was noted by this researcher, however, that the relative isolation of many of New York State's ESL teachers (e.g., in rural areas), and the lack of inservice geared to their particular field, may be a critical factor in predicted findings of low curriculum implementation in some schools.

If, in fact, this study demonstrates that ESL teachers who lack both ESL-specific inservice opportunities and the building principal's interest, understanding, and support for the ESL program are low implementers of the NYS ESL Curriculum, we may infer that increased training of principals, particularly those with high numbers of limited English Proficient (LEP) students in their schools is needed, in order to increase the effective implementation of the NYS ESL Curriculum. We may also infer that increased teacher inservice will also increase the level of implementation of the NYS ESL Curriculum.

Second, the literature points to the properties of the innovation as strongly influencing its implementation. The user's knowledge and understanding of a specific curriculum were cited by several studies in this literature review as important to the success of the implementation of that curriculum. The degree of explicitness of the

curriculum, its "goodness of fit" with the user's instructional philosophy and methodology, and the difficulties encountered when organizing the content of the curriculum for teaching purposes while, at the same time, preparing students for required tests were also found to be critical to implementation.

If this study supports the hypothesis that teachers' perceptions of the NYS ESL Curriculum are that it: a) is not easily understood and used, b) does not correlate well with existing philosophies and methodologies of ESL instruction and, c) is not sufficiently explicit; and, that the Curriculum, therefore, is not widely implemented, these findings will point to a need for revisions to the document. These revisions may be in the content and/or the format of the Curriculum.

The context in which the implementation is to occur was discussed both in terms of the teacher and the school setting, and was the third category of factors relating to implementation in this review of the literature. The teacher's experience, repertoire of skills, and prior training were found by several studies to be worthy of further exploration. The teachers' capacity to use an innovation was found to be one of the most problematic aspects of attempted innovation in several studies.

It was hypothesized in this study that the individual characteristics of the user will impact on the implementation of the NYS ESL Curriculum, particularly in the case of ESL teachers who do not have a background in ESL, are not state certified (or New York City licensed) in ESL, and may be generally unprepared to assume the role of ESL teacher. If this research shows a correlation between the

ESL teacher's area of certification/ licensure and level of experience and expertise, and that teacher's level of implementation of the NYS ESL Curriculum, these findings might suggest that more aggressive efforts on the part of districts to hire appropriately certified ESL teachers, and more enforcement of certification requirements on the part of the New York State Education Department may be required if implementation of the NYS ESL Curriculum is to take place.

The school setting was also found to be key in the literature, when examining the context in which implementations of innovations are attempted. Differences among programs, particularly differences among institutional settings, were found to be of far greater importance than differences between programs (such as a reading program and a vocational education program). The availability of time, space and materials in the schools were found to be of particular significance to implementation in several studies.

Because ESL teachers are frequently handicapped in terms of instructional time, space and materials, the school setting will be one more important factor in the success of the NYS ESL Curriculum implementation effort, it was hypothesized. If this research finds that those ESL teachers who are severely limited in the availability of one or more of these three contextual factors are also low implementers of the NYS ESL Curriculum , these findings would indicate that, as the literature maintains, unless the context is conducive to implementation, the innovation will not be adopted and, eventually, institutionalized. This would also point to a serious need for the

upgrading of ESL programs in buildings where the facilities, materials, and instructional time are inadequate.

The last section of the review of the literature focused on approaches to ESL instruction and ESL curriculum design. Several widely varying approaches were described in order to (partially) explain some teachers' perceptions of the NYS ESL Curriculum as not fitting their ESL methodologies. Furthermore, it was hypothesized that, as the literature suggests, if teachers' perceptions of the (NYS ESL) curriculum are not favorable, for any number of reasons, low implementation of the curriculum will be found. These findings might point to a need for revisions to the content and/or format of the curriculum. This might include, in the case of the NYS ESL Curriculum, an increased focus on a communicative approach to ESL curriculum and instruction.

This research sought to identify those factors which were in evidence in sites where the NYS ESL Curriculum was being implemented. In order to distinguish implementing and non-implementing teachers, a discriminant analysis of three groups of teachers was conducted.

Chapter III : Methods

Survey Procedure

This study employed an ex post facto research design to determine the extent to which three variable sets differed among teachers who varied in their implementation of The New York State Core Curriculum for English as a Second Language in the Secondary Schools (NYS ESL Curriculum). These variable sets were: the nature of assistance provided to the teacher, including the principal's support, and inservice training; the context in which the implementation was attempted, including characteristics of the teacher and of the school setting; and, properties of the innovation, i.e., how teachers perceived the NYS ESL Curriculum.

In May 1987, questionnaires were mailed to the entire population of ESL teachers in grades 7-12 in New York State. With a follow-up mailing in June 1987, a final response rate of 50 percent was achieved (N = 465).

Instrumentation

A questionnaire was administered because it is highly cost effective in reaching a large number of respondents over a wide geographic area. Furthermore, with a questionnaire the respondents may answer without pressure (either real or perceived) from peers or authority figures, and respondents can also be assured of complete anonymity (unlike a face-to-face interview) (Babbie, 1983; Fink and Kosecoff, 1985; Fullan and Pomfret, 1977).

The "Survey of ESL Teachers in New York State in Grades 7-12" (see Appendix D) was developed to operationalize the model presented

in Chapter I of this study, and was based on the review of the literature presented in Chapter II. The items used in the survey questionnaire and their scale of measurement are presented in Figure 3.

The questionnaire was divided into three sections. The first section (items 1 through 34) was concerned with the respondents' professional background and training, ESL certification status, and ESL program. This section also included the perceived degree of program support from the building principal and the availability of ESL-specific inservice training. The second section of the questionnaire (items 35 through 53) elicited information on teachers' perceptions of the NYS ESL Curriculum through Curriculum-specific items, and also asked whether the building principal had actively encouraged the use of the Curriculum. The third section (items 54 through 64) collected information in support of certain respondents' claims that they were implementing the Curriculum.

Respondents who were unaware of the NYS ESL Curriculum were asked only to complete Part I of the questionnaire. These teachers were labelled "Unaware" (Group I). Respondents who were familiar with the NYS ESL Curriculum but who did not use it completed Parts I and II. This group was labelled "Rejecter" (Group II). Those respondents who claimed to be using the Curriculum completed the entire questionnaire and were labelled "User" (Group III).

The respondents' answers to the two items which inquired as to their familiarity with and use of the NYS ESL Curriculum (items 34 and

Figure 3. Variables and their scale of measurement.

Principal's Support

1. Support for ESL program: (three items) meets with ESL teacher, visits ESL classroom 1=Yes 2=No;
supports ESL program 1=strongly agree to 5=strongly disagree

2. Supports curriculum use: (two items) supports state curricula 1=strongly agree to 5=strongly disagree;
encouraged use of NYS ESL Curriculum 1=yes 2=no

Support from Inservice and Peer Group

3. Inservice training: (six items) travels to training workshops, near university, attends professional conferences, received inservice on NYS ESL Curriculum, regularly attends beneficial inservice 1=yes 2=no;
values one-day workshops given by outside experts
1=strongly agree to 5=strongly disagree

4. Peer group support: (two items) likely to try something new if there is a support/peer group 1=strongly agree to 5=strongly disagree;
number of ESL teachers in building ___

Availability of Time, Space and Materials

5. Size and type of program: (three items) geographic region of the state 1=New York City, 2=Buffalo, Rochester, Syracuse or Yonkers 3=small city 4=suburb 5=rural area;
average number of ESL students in each class 1=less than 5, 2=6 to 15, 3=16 to 24, 4=25 to 30, 5=more than 30;
size of class (i.e.,teacher/pupil ratio) is small enough for teacher's frequent interaction with students 1=strongly agree to 5=strongly disagree

6. Space: (two items) classroom space 1=has own ESL room, 2=shares classroom, 3=corner of student's regular classroom, 4=converted storage room, 5=temporary location such as hall or library;
availability of permanent display space 1=unshared, permanent display space, 2=limited permanent display, 3=temporary display (for one lesson), 4=chalkboard only, 5=no chalkboard or other display space

7. Time: (three items) number of minutes of instructional time with students per week ___;
instructional time per week adequate to meet goals of ESL program, sufficient time for lesson planning 1=strongly agree to 5=strongly disagree

(figure continues)

8. Materials: (four items) ESL instructional materials available and adequate, supplementary instructional materials available and adequate 1=strongly agree to 5=strongly disagree;
teacher's resource room available with ESL-appropriate materials, materials to assist teacher with NYS ESL Curriculum are available 1=yes 2=no

The Teacher

9. Credentials: (one item) has ESL license or certification 1=yes 2=no

10. Training: (two items) has Masters Degree in ESL, student taught in ESL 1=yes 2=no

11. Experience: (two items) has served on an ESL curriculum committee 1=yes 2=no;
number of years teaching ESL ___

12. Expertise: (two items) self-evaluation as an ESL teacher 1=outstanding to 5=extremely weak;
self-evaluation of knowledge of English grammar 1=far above average to 5=extremely weak

13. General characteristics: (two items) sex 1=male 2=female;
age range 1=under 26, 2=26 to 32, 3=33 to 40, 4=41 to 48, 5=49 to 56, 6=57 to 64, 7=over 64

Properties of the Innovation

14. Teacher's perceptions of the Curriculum: (two items) was there a prior ESL curriculum in use 1=yes 2=no 3=don't know;
if "yes," is NYS ESL Curriculum an improvement 1=yes 2=no

15. Usefulness of the Curriculum: (two items) teacher should refer to Curriculum at beginning of school year, not necessary to refer to it again after initial check 1=strongly agree to 5=strongly disagree

16. Quality of the Curriculum: (five items) too much stress on grammar, students can achieve objectives, major revisions needed, reflects latest research in field, sequencing is good 1=strongly agree to 5=strongly disagree

17. Curriculum corresponds with teacher's instructional philosophy: (one item) sequencing reflects teacher's views 1=strongly agree to 5=strongly disagree

(figure continues)

18. Curriculum is adaptable: (two items) corresponds with required ESL tests, is easily adapted to local context 1=strongly agree to 5=strongly disagree

19. Ease of use: (five items) State Education Department should provide teacher's manual for Curriculum, encountered problems when first used Curriculum, still having difficulty, easy to plan lessons using Curriculum 1=strongly agree to 5=strongly disagree;
prefer alternative physical format of a curriculum (check all that apply) 1=two volumes including teacher's manual, 2=loose-leaf binder, 3=computer disk, 4=kit, 5=other (respondent describes)

Implementation of NYS ESL Curriculum

20. Advocates use of Curriculum: (two items) textbook is best source for planning lessons, would recommend Curriculum to another teacher 1=strongly agree to 5=strongly disagree

21. Familiarity with Curriculum: (two items) has seen and is familiar with Curriculum, has personal copy of Curriculum 1=yes 2=no

22. Uses Curriculum: (five items) uses Curriculum to help explain ESL program to others, uses Curriculum as guide when planning lessons 1=yes 2=no;
Guide section of Curriculum is helpful, appendices of Curriculum are helpful, usually consults Curriculum when planning lessons
[intentional repeat of question appears later in questionnaire]
1=strongly agree to 5=strongly disagree

23. Changes as a result of Curriculum use: (thirteen items) changes within past three years: in grammatical structures taught, in grouping of students, inclusion of language contexts, in vocabulary taught, in emphasis on reading, in expectations of students, in emphasis on writing, in emphasis on listening and speaking skills, has selected different textbook 1=yes 2=no;
for each of the preceding changes, was it a result of using the Curriculum 1=yes 2=no;
effectiveness as ESL teacher was increased by Curriculum use 1=strongly agree to 5=strongly disagree;
Curriculum has had overall impact on teaching, Curriculum has had overall impact on ESL program 1=no impact to 5=extensive impact

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Note: In the questionnaire the response of "undecided" appeared as the last response alternative for each item using that scale. For the purposes of analysis, "undecided" was given the value of the midpoint of the scale.

53, respectively) were the initial determinants of placement of teachers into Unaware (Group I), Rejecter (Group II) or User (Group III). The placement of respondents into one of the three groups was similar to the Hall and Loucks' (1977) "Level of Use" (LoU) procedure, which determines placement by what the teacher actually does. The LoU procedure was adapted for this study based on its previous history of use.

In the LoU model a teacher who has little or no knowledge of an innovation and no involvement with it would be placed at Level 0 / Non-Use. In the present study the equivalent was Unaware (Group I). In the LoU model a teacher who has some limited knowledge of the would be placed at Level I / Orientation; a teacher who has limited knowledge and may (or may not) be preparing to use the innovation would be placed at Level II / Preparation. These two stages are roughly the equivalent of Rejecter (Group II) in the present study. And, the LoU procedure places those who are at the mechanical use or routine use of an innovation at Levels III and IV, respectively. These levels, and anything beyond, are reflected in User (Group III) in the present study.

In order to further determine teachers' placement in one of the three groups in this study, Fullan and Pomfret's (1977) recommendation that an implementation instrument be as innovation specific as possible was followed. In Figure 3, those items described under "Properties of the Innovation" and "Implementation of NYS ESL Curriculum" reflect the sections of the questionnaire which were

innovation specific (and were not, therefore, responded to by those teachers who were unaware of the Curriculum).

Berman and McLaughlin's (1976) recommendations, that measures of implementation effectiveness must focus not on student outcomes, but on such factors as teachers' perceived success with the implementation and the type and extent of changes in teachers' behavior were also integrated into the questionnaire, and were reflected in:

1. Teachers' responses to questions pertaining to the perceived impact of the Curriculum on their ESL teaching and on the ESL program in their school district.

2. Teachers' responses to the question of whether or not they would recommend the Curriculum to another teacher (i.e., an endorsement).

3. Teachers' responses to questions inquiring as to their familiarity with, and attitudes toward, the Curriculum. For example, some of the Curriculum-specific questions asked for teachers' perceptions as to: (a) whether the Curriculum was too heavily focused on the teaching of grammatical structures, (b) whether most of their students could realistically achieve the instructional objectives presented in the Curriculum, (c) whether the sequence of instructional items was in keeping with the teacher's views of how ESL should be taught, (d) whether the instructional items in the Curriculum corresponded to both the ESL textbooks used and the ESL tests required of their students, and (e) whether the Guide section of the Curriculum and the appendixes were helpful to the teacher.

4. Teachers' responses to questions pertaining to changes that had occurred as a result of using the Curriculum. For example, asking ESL teachers whether they teach listening skills would not be a test of their familiarity with, and use of the Curriculum. An affirmative response would merely reflect a common practice in ESL classes which one would expect to find, with or without the use of the Curriculum. However, asking whether there had been some change in their teaching of listening skills over the past three years, and whether or not that change was as a result of using the NYS ESL Curriculum, can be one means of inquiry into the teacher's level of curriculum implementation.

Finally, it should be noted that the questionnaire items represented both manipulable and nonmanipulable factors, although some researchers advocate the study of only those factors which are manipulable (Zaltman, Florio and Sikorski, 1977). However, as Huberman and Miles (1984) observed in their study of twelve implementation sites, a nonmanipulable factor such as the late arrival of materials and equipment that are critical to an innovation can be (and were) compensated for by highly skilled, experienced teachers.

Pilot Test Procedures and Results

A pilot test of the survey instrument was conducted in March 1987 to determine the validity and the reliability of the measure. Twenty-six ESL teachers were identified through contacts with ESL specialists who regularly supervise and/or train ESL teachers. These specialists submitted the names of ESL teachers whom they judged to be either implementers or non-implementers of the NYS ESL Curriculum. The

specialists designated which teachers fell into each category, as requested.

The circumstances under which the actual survey would be conducted were duplicated as closely as possible in the pilot test. The mailing to pilot testers included a cover letter from the New York State Education Department's Deputy Commissioner for Elementary, Secondary and Continuing Education, endorsing the survey and encouraging participation (see Appendix G). A return postcard to signal to the researcher that the confidential questionnaire had been placed in the return mail was also included (Babbie, 1983). All return postage was provided, and all respondents were asked to indicate, on the post card, whether or not they wished to receive the results of the survey once it had been completed.

The pilot test teachers were geographically representative of the statewide distribution of ESL teachers who would eventually be surveyed. The respondents, all public school teachers of ESL in grades 7-12, were drawn from the same population that would be participating in the actual survey.

The questionnaire packets were mailed from the New York State Education Department, to be returned to the Department of Education Program Development and Evaluation at the State University of New York at Albany. This procedure was followed to encourage those teachers who might have felt reluctant to reveal certain information about their ESL programs to the New York State Education Department.

Pilot respondents were asked to indicate, on a review form which accompanied the questionnaire, which questionnaire items were unclear

to them, which directions might have been difficult to follow, and the time it took for them to complete the questionnaire (either 15 or 20 minutes for nearly every respondent, with several reporting only ten minutes). Based on pilot respondents' comments and on the pilot survey results, the questionnaire appeared to need little revision. These results, which focused on the clarity of the questions and directions as well as on the general format of the survey, supported the reliability of the survey questionnaire.

Concurrent validity of the survey questionnaire was supported by the fact that in only two cases did the questionnaire results contradict the reported status of the respondent's implementation status (see Appendix F).

The construct validity of the questionnaire was examined through expert review of the items by five specialists in ESL selected for their knowledge and experience in the field (see Appendix F for sample of letter requesting comments). This panel of reviewers included professors, ESL teacher trainers, NYS ESL Curriculum development task force members, and ESL program administrators. In addition, three had held elected offices with the New York State association of ESL teachers, demonstrating the high esteem in which they are held by their peers. The reviewers stated that the questionnaire items operationalized the variables presented in the researcher's model. They also confirmed the clarity of the wording of both the directions and the questionnaire items (see Appendix F for examples of the comments made by the reviewers).

Sample

Data on teacher assignments throughout the state are collected annually by the New York State Education Department's Basic Education Data Systems (BEDS) Office. This survey was administered by mail to the entire population of New York State (public school) teachers who identified themselves on the BEDS forms as ESL teachers in grades 7-12 during the 1986-87 school year (N=974), less the 26 who had participated in the pilot test of the survey instrument, for a potential survey population of 948 ESL teachers.

Five surveys were returned as undeliverable or by teachers no longer teaching ESL, and an additional 16 surveys were not returned by ESL teachers on special assignment to the New York City Board of Education who were no longer in the classroom. Of the remaining survey population of 927, the 465 responses received represented a response rate of 50 percent (see Appendix H for information on the survey population, including teachers' certification status, and the proportion which held a Masters Degree in ESL).

Analyses

Analysis of the data began with a common factor analysis with varimax rotation, using SPSS-X. The purpose of the factor analysis was to empirically confirm the composition of a priori scales devised to measure the constructs of the teacher's background and training, the principal's support for the ESL program (and of the NYS ESL Curriculum), and the context (i.e., was the school environment in which the ESL program was conducted supportive).

The analysis was performed on 29 items from the first section of the questionnaire, which was completed by all of the teachers

Table 1.

Rotated Factor Matrix

Item	Factor 1 (program support)	Factor 2 (principal's support)	Factor 3 (teacher's background)	Factor 4
7. size of class	.84	-.02	-.04	.04
6. # of students	.76	-.12	.00	.22
8. teaching time	.46	.19	.04	-.03
10.textbooks	.38	.28	.18	.28
9. planning time	.38	.17	-.11	.03
11.other materials	.37	.22	.09	.33
21.meets with teacher	.05	.76	-.04	.08
22.visits class	-.14	.69	.07	-.05
33.supports program	.21	.62	-.09	.07
32.encourages use of curric.	.01	.52	.06	.28
13.M.A. in ESL	.02	-.01	.82	.02
14.ESL student tching.	-.09	.03	.73	-.04
12.ESL certified	.07	-.04	.65	.12

surveyed. Eleven factors were extracted, accounting for 62 percent of the variance. Based on a scree test, four factors were initially retained, with items assigned to the factor on which they had the highest loading. Since only factors with at least three items were considered as composing a valid scale, the fourth factor was dropped from consideration and only three factors were included in the remainder of the analysis.

Factor 1 appeared to measure the degree of support for the ESL program in the respondents' school. Items measured aspects such as the availability of ESL texts and related instructional materials, the adequacy of the teacher's planning and instructional time, and opportunities for teacher/student interaction based on class size.

Factor 2 appeared to measure the principal's support for the ESL program and the Curriculum, including the number of times the principal meets with the ESL teacher each year, the number of visits the principal makes to the ESL classroom, the principal's support for state-developed curricula and the principal's suppport for the ESL program.

Factor 3 appeared to measure teachers' professional background and qualifications, and was comprised of items such as ESL certification or licensure, education and student teaching experience.

This empirical examination supported the researcher's a priori expectations for these item sets. The factors were treated as scales and tested for their reliability using Cronbach's Alpha (Thorndike, 1982). Program support (alpha = .70), and teacher's background (alpha = .73) scales were judged to have acceptable levels of reliability. Principal's support (alpha = .56), although lower in

reliability than desired, was also accepted, rather than discarding items with high theoretical meaning.

An additional scale (alpha = .97) was constructed for a set of items which were answered only by Rejecter (Group II) and User (Group III) respondents. These items related to both groups' perceptions of and attitudes toward the NYS ESL Curriculum. The results of the factor analysis supported the validity of the model (Norusis, 1985).

Limitations of the Study

A limitation of this study was the response rate of 50 percent. This may have been because the New York State Education Department's Bureau of Bilingual Education was responsible for the development and dissemination of the NYS ESL Curriculum, and that reporting non-use of this Curriculum could have constituted an admission that the respondent's school district was out of compliance with certain regulations and guidelines for state-funded ESL programs. A second limitation of the study was the lower-than-desired reliability of the "principal's support" scale in the factor analysis.

Chapter IV: Results

Overview

This chapter reports the analysis of research findings. The discriminant analysis identified variables (and variable sets) which were most important in distinguishing the three groups of respondents who differed in their use of the The New York State Core Curriculum for English as a Second Language in the Secondary Schools (NYS ESL Curriculum):

Unaware (Group I)- those teachers who had not seen, and were not at all familiar with, the NYS ESL Curriculum;

Rejecter (Group II) - those teachers who were familiar with the NYS ESL Curriculum but who had not used it; and,

User (Group III)- those teachers who were familiar with and had used the NYS ESL Curriculum.

Discriminant Analysis to Distinguish Among Unaware (Group I), Rejecter (Group II) and User (Group III) Teachers:

The discriminant analysis for Unaware (Group I), Rejecter (Group II) and User (Group III) of the NYS ESL Curriculum yielded two functions. The first function had a canonical correlation of .43, accounted for 86.01 percent of the variance between the three groups, and was significant at the $p=<.01$ level. The second function had a canonical correlation of .19, accounted for 13.99 percent of the variation in group differences, and was not statistically significant ($p=.41$) (Norusis, 1985) (see Table 2).

The intercorrelation of the independent variables is reported in Tables 5 and 6, in Appendix E.

Table 2.

Discriminant Analysis of Teacher Groups I, II and III

Source of Variation	Group I Mean	Group I S.D.	Group II Mean	Group II S.D.	Group III Mean	Group III S.D.	Univ. F	Stand. Discrim. Function Coefficients	Item-to-Function Correlations
Program Support									
6. # of students	2.93	1.05	2.61	1.02	2.59	1.04	4.16 *	.25	.32
7. size of class	2.70	1.45	2.31	1.37	2.31	1.40	3.22 *	.11	.27
8. teaching time	2.53	1.19	2.49	1.30	2.35	1.23	0.87	.04	.14
9. planning time	2.99	1.31	3.03	1.30	3.01	1.33	0.02	-.05	-.02
10.textbooks	2.99	1.40	2.76	1.37	2.38	1.20	7.89 **	.27	.44
11.other materials	3.50	1.29	3.39	1.33	3.14	1.40	2.65	-.12	.25
Partial Multivariate F Ratio for variable set=1.93 *									
Principal's Support									
21.meets with teacher	1.63	.48	1.58	.50	1.54	.50	1.36	.10	.19
22.visits class	1.47	.50	1.51	.50	1.44	.50	0.49	-.06	.06
32.encourages use	3.12	1.03	2.80	1.16	2.37	.96	19.87 **	.76	.70
33.supports program	2.03	.95	1.86	.88	1.97	.92	0.66	-.25	.07
Partial Multivariate F Ratio for variable set=3.31 **									
Teacher's Background									
12.ESL certified	1.49	.50	1.20	.41	1.28	.45	11.31 **	.37	.47
13.M.A. in ESL	1.76	.43	1.58	.50	1.56	.50	6.97 **	.18	.41
14.student tching.ESL	1.79	.40	1.69	.46	1.69	.47	2.57	.09	.25
Partial Multivariate F Ratio for variable set=2.51 **									
<u>Group Centroids</u>									
Unaware (Group I)								.58	
Rejecter (Group II)								-.10	
User (Group III)								-.46	

**=p<.01, *=p≤.05

Intercorrelations were generally low, thereby minimizing the problem of multicolinearity.

Table 2 reports the partial multivariate F ratios associated with each of the three variable sets entering the discriminant analysis. The standardized discriminant function coefficients and item-to-function correlations associated with each variable in the variable sets are also reported.

The discriminant function coefficients indicate the unique contribution of a variable to a composite, while the item-to-function correlations represent how much variance a given variable shares with the underlying composite (Chapman and Green, 1985). The largest item-to-function correlations contribute most to group separation (Chapman and Green, 1985). Nonetheless, the variables on a function act as a set, and changing that set can substantially alter the pattern of item-to-function correlations observed.

Primary discrimination of the first function (R_c = .43, $p < .01$) was between Users of the NYS ESL Curriculum and those who were unfamiliar with it. Those who were familiar with the Curriculum but did not use it (Rejecters) were more similar on this dimension to Users of the Curriculum than to those who were unfamiliar with it (Unaware).

Teachers who were implementing the Curriculum (User, Group III) were:

1. more likely than Unaware (Group I) teachers to hold New York State certification or a New York City license as a teacher of ESL;

2. more likely than Unaware (Group I) teachers to hold a Master's degree in teaching ESL;

3. more likely than Unaware (Group I) teachers to agree that their classes were small enough for the teacher to have frequent interaction with students;

4. more likely than Unaware (Group I) teachers to agree that a sufficient number of ESL texts were available to them;

5. more likely than Unaware (Group I) teachers to agree that sufficient quantities of supplementary instructional materials were available to them; and, were

6. less likely than Unaware (Group I) teachers to have larger classes.

The largest group difference was in the principal's support of state-developed curricula, with the greatest support by principals for state-developed curricula reported by Users of the NYS ESL Curriculum. Those teachers who were unfamiliar with the Curriculum tended to report that their principals did not encourage the use of state-developed curricula.

The discriminant analysis of Groups I, II and III included 349 unweighted cases; 114 of the 463 cases processed were excluded from this analysis because of missing or out-of-range group codes and/or at least one missing discriminating variable. Curriculum implementation among the three groups was as follows:

a) 45 percent of the respondents included in the analysis claimed to be implementing the NYS ESL Curriculum (User);

b) 17 percent of the respondents included in the analysis claimed to be somewhat familiar with the Curriculum, but did not use it (Rejecter); and,

c) 38 percent of the same group of respondents claimed to have no familiarity with the Curriculum whatsoever (Unaware).

Therefore, 45 percent of the respondents in this analysis claimed to be implementing the NYS ESL Curriculum, while 55 percent claimed to be non-implementers.

Discriminant Analysis of Rejecter (Group II) and User (Group III) Teachers:

A second discriminant analysis was conducted (see Table 3) to determine whether Rejecter (Group II) teachers could be more accurately distinguished from User (Group III) teachers if information was incorporated concerning teachers' perceptions of, and attitudes toward the NYS ESL Curriculum. As with the first discriminant analysis, a setwise entry procedure was employed, using the three scales used in the first analysis and an additional scale relating to teachers' perceptions of and attitudes toward the NYS ESL Curriculum. The discriminant function was significant at the $p \leq .01$ level ($R_c = .56$). An examination of the partial multivariate F ratios associated with the variable sets indicated that only teacher's attitude toward the NYS ESL Curriculum was significant ($p < .001$) in distinguishing between Users and Rejecters.

Users of the NYS ESL Curriculum were more likely than Rejecters to agree that:

1. the Curriculum should be referred to at the beginning of

Table 3.

Discriminant Analysis of Teacher Groups II and III

Source of Variation	Group II Mean	Group II S.D.	Group III Mean	Group III S.D.	Univ. F	Stand. Discrim. Function Coefficients	Item-to-Function Correlations
Program Support							
6. # of students	2.71	1.09	2.52	1.06	.79	.12	.11
7. size of class	2.50	1.52	2.25	1.41	.81	.04	.11
8. teaching time	2.65	1.37	2.40	1.29	.94	.16	.12
9. planning time	2.88	1.32	3.03	1.37	.30	-.17	-.07
10.textbooks	2.65	1.35	2.30	1.20	2.00	-.01	.18
11.other materials	3.41	1.28	3.05	1.38	1.85	.20	.17
F ratio for variable set=.68							
Principal's Support							
21.meets with teacher	1.53	.51	1.53	.50	.00	-.13	.00
22.visits class	1.47	.51	1.43	.50	.14	.20	.05
32.encourages use	2.82	1.14	2.39	.98	4.70 *	.34	.28
33.supports program	1.88	.84	1.93	.85	.06	-.09	-.03
F ratio for variable set=.70							
Teacher's Background							
12.ESL certified	1.18	.39	1.16	.37	.05	-.08	.03
13.M.A. in ESL	1.56	.50	1.54	.50	.05	.07	.03
14.student tching.ESL	1.68	.47	1.72	.45	.20	-.11	-.06
F ratio for variable set=.47							
Attitude Toward NYS ESL Curriculum							
38. refer to it in September	2.62	1.02	2.00	.96	10.14 **	.09	.41
39. not necessary to refer again	3.15	1.13	4.10	.80	26.74 **	-.73	-.66
40. too much stress on grammar	2.97	1.22	3.47	1.11	4.97 *	.23	-.28
41. objectives achievable	2.49	1.23	2.45	.96	0.03	-.08	.02
42. major revisions needed	2.32	.94	3.08	1.06	13.49 **	-.29	-.47
43. communicative aspects included	2.76	1.05	2.45	.99	2.50	-.15	.20
44. instruct. levels well-designed	2.50	.86	2.18	.67	5.07 **	.05	.29
45. teacher agrees with sequence	3.12	1.15	2.40	.93	13.71 **	.18	.47
46. corresponds to ESL tests	2.94	1.18	2.64	1.09	1.87	-.07	.17
47. recent research is reflected	3.09	1.14	2.68	.97	4.10 **	.03	.26
48. curriculum adaptable to locale	2.91	1.14	2.23	.80	15.27 **	.32	.50
F ratio for variable set= 2.14 **							
Group Centroids							
Rejecter (Group II)						1.17	
User (Group III)						-.38	

**=p<.01, *=p<.05

the school year;

2. The Curriculum corresponds with their view of how an ESL curriculum should be sequenced;

3. The Curriculum reflects current research in the field of ESL; and,

4. The Curriculum is adaptable to the local school environment and to the needs of their students.

Rejecters of the NYS ESL Curriculum were more likely to agree that:

5. The Curriculum places too much emphasis on the teaching of grammar;

6. The Curriculum is in need of major revisions to make it easier to use; and,

7. After consulting the Curriculum at the beginning of the school year, it is not usually necessary for the ESL teacher to consult it again during the school year.

An examination of the univariate F ratios at the conclusion of the analysis highlights the importance of nine specific variables across the entire analysis (Table 3). The most important of these nine variables suggest that, contrary to Rejecters of the Curriculum, User (Group III) teachers strongly disagreed with the statement that the NYS ESL Curriculum need not be referred to again after an initial check at the beginning of the school year. Also, User (Group III) teachers were more likely to agree that the Curriculum is easily adaptable to the local school environment (eg., a large New York City high school) and to the interests of their students.

The second discriminant analysis of only Rejecter (Group II) and User (Group III) teachers included 140 unweighted cases; 323 of the 463 cases processed were excluded from this analysis for the same reasons as those noted above and, because the two stopping points in the questionnaire (items 34 and 53) intentionally selected out Groups II and III. Reported implementation of the Curriculum for Groups II and III was as follows:

a) 76 percent of those who were familiar with the Curriculum claimed to be implementing it (User), while

b) 24 percent did not use it (Rejecter).

Chapter V: Major Findings, Implications, Future Directions for Research and Conclusion

Major Findings

Two major issues relating to the implementation of The New York State Core Curriculum for English as a Second Language in the Secondary Schools (NYS ESL Curriculum) were perceived to exist. They were:

1. the need for the New York State Education Department to conduct studies to determine whether or not state-developed curricula are being used by teachers; and,

2. the need to determine the factors relating, specifically, to the implementation of the NYS ESL Curriculum.

This study explored the relationship of three variable sets to the implementation of the NYS ESL Curriculum: the nature of assistance provided to the teacher in support of the implementation effort (including the principal's support and inservice training), the context in which the implementation was attempted (including characteristics of the teacher and of the school setting), and the properties of the innovation (and teachers' perceptions of it).

Through a discriminant analysis procedure, it was determined that the degree of support from the principal for state-developed curricula, the teacher's certification status, the teacher's perceptions of the curriculum, and several other key variables were significant in distinguishing those teachers who were unfamiliar with the Curriculum, those teachers who were familiar with the Curriculum

but had decided not to use it, and those teachers who were actually implementing it.

The results of the survey of the 948 grade 7-12 ESL teachers in New York State, in 1986-87, indicated that teachers who did not use the NYS ESL Curriculum:

1. were less likely than users to be state certified (or New York City licensed) in ESL,
2. were less likely to hold a Masters degree in ESL,
3. were less likely to agree that their classes were small enough to allow for frequent interaction with their students,
4. were less likely to agree that they had a sufficient quantity of instructional materials,
5. were less likely to report that their principals supported the use of state-developed curricula, and
6. were more likely to have larger classes.

Furthermore, it was found that the largest difference among the respondents was in their principal's support of state-developed curricula.

A further analysis of the survey results included only those teachers who were familiar with the NYS ESL Curriculum. In that analysis, the group of respondents who used the Curriculum (Users) differed significantly from the group who did not (Rejecters) when information was incorporated in the analysis concerning teachers' perceptions of the Curriculum. The results indicated that the teacher's attitude was the only significant variable set distinguishing these two groups.

Users of the Curriculum:

1. were more likely than those who rejected it to agree that teachers should continue to consult the NYS ESL Curriculum throughout the school year,
2. were more likely to agree that the Curriculum should be used as a guide when selecting an appropriate ESL textbook,
3. were more likely to agree that the Curriculum is properly sequenced and corresponds with their views of how instructional items and levels should be sequenced in an ESL program,
4. were more likely to agree that the Curriculum reflects current research in the field, and
5. were more likely to agree that the Curriculum is readily adaptable to local student interests and needs.

Furthermore, users of the Curriculum were also less likely than those who rejected it to agree that the Curriculum places too much emphasis on grammar, and/or that it is in need of major revisions to make it easier to use.

Analysis of Findings in Relation to the Hypotheses

Hypotheses 1 and 2, which predicted that support from the building principal would have a direct impact on the implementation of the NYS ESL Curriculum were supported.

In the discriminant analysis which included all three groups of teachers (Unaware, Rejecter and User) the largest significant group difference was in the degree of support given to state-developed curricula by the building principal, with the greatest amount of support being provided to Users of the Curriculum.

Miles (1983) maintains that the causal chain which leads to implementation of an innovation begins with administrative commitment, and describes the strong administrator who applied pressure on users of an innovation while, at the same time, provided assistance. Berman and Pauly (1975) refer to principals as the "gatekeepers of change." Pratt et. al (1982) place a heavy responsibility on the principal if school improvement is to occur, and even suggest that principals be required to participate in teachers' inservice training. And, much of the Effective Schools literature (Edmonds, 1979, Lezotte, 1985, cited in Sudlow, 1985) includes strong support by the principal - the key administrative leader - as a correlate of an effective school. These earlier findings from the literature were supported by the results of this study.

Hypothesis 3, that, in those buildings where inservice training specific to the needs of ESL teachers is not provided implementation of the NYS ESL Curriculum will not be found was not supported by this study. Similarly, Hypothesis 4, that, in those buildings where inservice training specific to the needs of ESL teachers is provided implementation of the NYS ESL Curriculum will be found, was also not confirmed by this study.

In the analysis used to determine the sources of variation among all three groups of teachers, inservice training was not a significant discriminator; nor was it significant in the second discriminant analysis of only those respondents who were familiar with the Curriculum, some of whom were using it and some of whom were not.

These results suggest that other factors may be far more critical to the success of an implementation attempt than the inservice training provided to assist teachers with that implementation.

These findings are further supported by a similar curriculum implementation study (Crowther, 1972) wherein inservice combined with the principal's leadership did account for a variance between adopters (users) and non-adopters (non-users) of a curriculum. However, inservice only accounted for a minimal portion of the total variance in that study and, only in the early stages of decision-making - when the teacher was deciding whether or not to use the curriculum.

Although implementation literature generally concurs that the potential user's understanding of the innovation will impact on the degree of implementation of the innovation (Simms, 1978), the present results do not clearly demonstrate that inservice training is the best way to bring about that understanding. Huberman and Miles (1985) state, in fact, that at only two of the twelve research sites where implementation of innovations was attempted did inservice training appear to greatly affect initial implementation. Huberman and Miles (1985) further state that inservice training was only a minor contributor to success, in the early stages, and was far more influential when operating in conjuction with other, stronger variables, such as the teacher's level of expertise.

Fullan and Eastabrook (1973) disagree, and maintain that, without supports such as inservice training the innovation will fail to be implemented; and, Fullan and Pomfret (1977) state that inservice and other forms of people-based support are crucial to implementation.

Inservice training was also found to be significantly related to the degree of implementation in studies by Solomon et al. (n.d.), Cole (1971), Hamingson (1973), and McDonald and Walker (1974) (all cited in Fullan and Pomfret, 1977). Nevertheless, in the present study hypotheses 3 and 4 were not supported.

Hypotheses 5 and 6 were strongly supported, suggesting that, in those buildings where ESL teachers do not perceive the NYS ESL Curriculum to be clear, easy to use, and corresponding with their instructional philosophies, practices and materials the NYS ESL Curriculum will not be implemented.

In the discriminant analysis of the two groups of teachers who were familiar with and could, therefore, comment on the NYS ESL Curriculum, the teacher's attitude toward the Curriculum was the only significant variable set distinguishing Rejectors of the Curriculum from Users.

Fullan, Eastabrook and Biss (1977) emphasized the need to treat people's perceptions of an innovation as "legitimate data." When Huberman and Miles (1984) identified six variables as characteristic of the innovation adoption process, all six referred to some aspect of the potential user's perceptions of the innovation, such as perceived "goodness of fit" with existing practices, both at the classroom and at the organizational level. Huberman and Miles (1984) concluded that, in the early stages, initial perceptions of an innovation influence whether or not potential users will be inclined to put the innovation into action. Pratt et al. (1982), who reported on two school improvement efforts in Jefferson County, Colorado and Palm

Beach, Florida designed a "Concerns Based Adoption Model" (CBAM) which analyzes what occurs at the individual and classroom level when innovations are introduced. Pratt et al. (1982) stressed the fact that change is a process, not an event, and that the process must be considered from the point of view of the participants i.e., personal feelings and perceptions must be considered. Crowther (1972) also discussed the relationship between teachers' perceived complexity of a given curriculum and the degree of implementation of that curriculum. Similarly, Herron (1971), found that new curricula were not being used because teachers had differences in their perceptions of the structure, goals and basic philosophy of the new course materials. The preliminary conclusions arrived at from the literature were strongly supported in this study by the results of the testing of hypotheses 5 and 6.

Hypotheses 7 and 8, which related the teacher's perceived adequacy of instructional space, time and materials to the implementation of the NYS ESL Curriculum were both supported (in part) by the research results.

In the discriminant analysis of all three groups of teachers, those who had neither seen nor used the NYS ESL Curriculum (Unaware) were those teachers who did not feel that they had an adequate number of ESL textbooks and supplementary materials available to their classes. These same teachers also reported high numbers of students in each ESL class, and considered their classes to be too large to allow for the necessary, frequent interaction with their students. This last factor may also account, in part, for teachers' perceptions

that the amount of time available to them for teaching and for planning was also inadequate.

Huberman and Miles (1984) cite the adequacy of resources and materials as one of the key factors leading to a "smooth start" in the early use of innovations at certain sites; conversely, lack of materials is specifically reported as a factor contributing to "rough starting" sites. Furthermore, they note, one of the key ways in which the principal can "pave the way" for implementation is to make sure that necessary equipment and materials are available. Zaltman, Florio and Sikorski (1977) warn that the process of change is complex, and that to ignore the elements of the target institution (e.g.,the school) is a common flaw in change efforts. Among the factors to be considered, note Zaltman et al. (1977), are the resources available (material, as well as financial and human).

The importance of adequate space for instruction and for materials display did not emerge as a key factor in this study. This was included in the survey because the researcher had observed, over a ten-year period of ESL program monitoring in schools throughout New York State, that many ESL programs were conducted in locations such as storage rooms and halls; and because adequacy of space is cited in the literature as important to implementation (Fullan and Pomfret 1977). However, according to teacher responses (see frequency tables in Appendix H) this remains a problem for only a small number of teachers, which may account for the fact that this part of hypotheses 7 and 8 was not supported by the research findings.

The remaining elements of hypotheses 7 and 8, the importance of the availabity of adequate time - for teaching and for planning - and the importance of adequate instructional materials were supported by the research findings.

Hypothesis 9, that, in those buildings where ESL teachers are inadequately trained and/or are inexperienced implementation of the NYS ESL Curriculum will not occur; and Hypothesis 10, that, in those buildings where ESL teachers are adequately trained and are experienced implementation of the NYS ESL Curriculum will be found were both partially supported by the study.

Whereas the number of years that the teacher had been teaching ESL did not emerge as one of the discriminating variables in the analysis of responses from all three groups of teachers, the teacher's certification status, whether or not the teacher held a Masters degree in teaching ESL, and whether or not the teacher had student teaching experience in the field of ESL did emerge as sources of variation among the groups of respondents (the strongest factor being whether or not the teacher was ESL certified). Furthermore, although being state certified in ESL resulted in the respondent's being more likely to be aware of the Curriculum than uncertified teachers, those teachers who were ESL certified and held a Masters degree in ESL were more likely to be implementers.

Crowther (1972), and Lukas and Wohlleb (1973, cited in Fullan and Pomfret, 1977), suggest that not all teachers have the same ability to use an innovation, and that previous training is a factor to be considered. This capacity to use an innovation, including basic

teacher preparation, was also found to be among the most problematic aspects of attempted implementation according to Charters and Pellegrin (1973), Gross, Giacquinta and Bernstein (1971), and Downey (1975) (all cited in Fullan and Pomfret, 1977). And, the teachers in Huberman and Miles' (1984) study who were low (or non-) implementers because of inadequate instructional skills experienced problems because their "existing repertoires" of skills were inappropriate for that innovation, according to the researchers.

In this study, frequency tables (Appendix H) which provide information on the characteristics of the survey population and their ESL programs reveal that, although 64.3 percent of the respondents reported that they were state certified (or New York City licensed) in ESL, 61.1 percent did not have a Masters degree in ESL (the usual route to State certification), and 67.7 percent had no student teaching experience in ESL. This suggests that the majority of state certified respondents were "grandfathered in" when ESL certification took effect in 1983, with little, or no formal training or preparation in ESL. This may also partially explain the tendency of certified teachers lacking a Masters degree in ESL not to be using the Curriculum. (In spite of this apparent lack of training and credentials, 78.9 percent of the respondents rated themselves as either outstanding or highly effective as ESL teachers!)

The findings of this study, that teachers who were both uncertified in ESL and lacking a Masters degree in ESL were most likely to be included in the group of teachers who were labelled Unaware of the Curriculum strongly supported those aspects of

Hypotheses 9 and 10. Furthermore, ESL certified teachers who were probably "grandfathered in," but lacked a Masters degree in ESL were more likely to be in the group of teachers aware of, but not using the Curriculum (Rejecter) than those teachers who were both certified and held a Masters degree in ESL. This finding appears to have a relationship to the fact that perceived level of complexity of an innovation, and whether or not the teacher feels capable of implementing it may contribute to that teacher's decision to reject the innovation (Huberman and Miles, 1984).

Implications

Although many of the findings of this study were consistent with widespread expectations of ESL educators, curriculum developers, and researchers, there were several findings that were surprisingly counter to those expectations. It is these findings that may have important implications for curriculum developers at the state level:

1. The role of the building principal in the implementation effort was not expected to emerge as an important factor in this study. In fact, the panel of experts who reviewed the questionnaire prior to its distribution strongly advised that the principal's support should not even be included as a variable in the research. At the high school level, the experts argued, there is a hierarchy of assistant principals and department chairpersons and, as a result, high school teachers have very little direct contact with principals.

Contrary to these expectations, the principal's support emerged as a significant determinant of curriculum implementation, suggesting that even at the high school level curriculum dissemination and

implementation efforts would be greatly enhanced by the principal's active involvement and support. To assist principals in this leadership role, training efforts intended to sensitize principals to the needs of the limited English proficient population, for example, should be conducted throughout the state. Such efforts are currently underway, and should be encouraged and expanded.

2. Inservice training is generally considered by curriculum developers to be essential to the curriculum implementation effort. This view is widely supported by the New York State Education Department, by the BOCES (Boards of Cooperative Educational Services), by teachers' unions and by much of the literature.

However, in the present study inservice training failed to emerge as a factor relating to implementation in the discriminant analysis. The implication of this finding is that there may be an over-emphasis on inservice training, and that perhaps new uses of printed resource materials might be considered as an alternative.

3. It is generally assumed that, as per the state requirements, most of the ESL teachers who are state certified will have qualified for that certification by completing a Masters degree program in their area of specialization, and would also have met the student teaching requirement of the Masters program.

The results of this study revealed that, of the 64.3 percent of the respondents who reported that they were ESL certified (or New York City licensed), only 34.6 percent had a Masters degree in ESL and only 27.3 percent had the appropriate student teaching experience. The

implications of these findings reach beyond the curriculum implementation issue, into ESL classrooms throughout the state.

The training and qualifications of teachers can have an impact on the academic success of their students. This is especially true in classes of high school students who have recently arrived from other countries with no knowledge of English, who hope to earn a high school diploma.

Furthermore, the shortage of fully qualified and certified ESL teachers is a critical problem throughout the state. Increased recruitment efforts on the part of college and university teacher training programs could help to ease this shortage. In addition, the availability of financial assistance for Masters degree candidates, through the New York State Empire Challenger Scholarship program, should be more widely publicized; ESL is a priority area of these scholarships.

4. Based on informal discussions with ESL teachers, and on the 1975 State Education Department survey of teachers' use of state-developed curricula (see Chapter II of this study for a description of the findings), it was anticipated that the overwhelming majority of ESL teachers would not be using the NYS ESL Curriculum. Here the findings were more positive than anticipated.

In the analysis of the three groups of respondents (Unaware, Rejecter and User), 45 percent of the respondents claimed to be implementing the NYS ESL Curriculum, while 55 percent reported that they were non-implementers. And, in the discriminant analysis of only Rejecter and User teachers, 76 percent of those who were familiar

with the Curriculum claimed to be implementing it (User), while 24 percent did not use it (Rejecter).

It appears that once teachers became familiar with the Curriculum they tended to use it. Furthermore, the perceptions of the Curriculum among User teachers were positive. However, of those who rejected the Curriculum, as the study has shown, their perceptions of the Curriculum were the deciding factors in their decision not to use it. This has far-reaching implications in the field of ESL curriculum development, as we shall see in the next, and final phase of the discussion of the implications of this study.

Rejecters of the NYS ESL Curriculum felt that the Curriculum was in need of major revisions, and that it placed too much emphasis on the teaching of grammatical structures. They also felt that it did not reflect current research in the field of ESL, that it was not readily adaptable to their students' needs, or that it coincided with their views on how instruction should be sequenced.

Another implication of this study, therefore, is that the New York State Education Department should consider revisions to the NYS ESL Curriculum if it wishes to encourage wider use of the Curriculum. This may mean moving away from what is perceived by some Rejecters as primarily a grammatical and lexical inventory. Such a language curriculum, according to van Ek and Alexander (1975), fails to take into account communicative validity and the sequencing of items to be taught based on this validity. Revisers of the Curriculum may wish to move toward a curriculum such as Johnson's (1982) Communicative Syllabus which focuses on language use, rather than on grammatical

structures (see Chapter II of this study). In fact, Johnson (1982) advocates the use of a notional approach at the beginning stages of instruction, and a functional approach at the more advanced stages. The end result, says Johnson, would be a freedom to shift emphasis away from the traditional stress on structural correctness.

This shift toward a more flexible curriculum, one that changes in design as the students progress through instructional levels, also suggests movement toward a modular approach along the lines of Stevick's (1971) recommendation. One advantage of modular construction, says Stevick (1971), is that it allows for more user responsibility, with the teacher, and the class, determining where the focus of an individual lesson should lie.

A brief mention of the results of a marketing survey question that was included in the survey of ESL teachers (item 50) is pertinent here (see Appendix J). Rejecter and User respondents were asked to react to four alternative suggestions on the "packaging" of a curriculum, with a fifth category provided for write-in suggestions. Rather than the single, bound volume of the NYS ESL Curriculum, the majority of respondents favored a loose-leaf binder format, with removable pages. The next most-preferred format was a kit, with individual instructional items on sets of manipulable cards which could be grouped and regrouped, according to the particular lesson plan being developed. A curriculum presented in two separate volumes, one of which is a teacher's manual was the next in order of preference; and, last in expressed preference was a curriculum whose contents are on a computer disk (perhaps because teachers do not

necessarily have ready access to computers on a daily basis). In addition, those teachers responding to the "other" category consistently asked for support materials to be included in state-developed curricula, such as sample lesson plans, placement tests for students, videotaped sample lessons and specific suggestions on how the curriculum should be implemented.

The findings of this study, supported by Stevick's recommendations for a modular approach to designing an ESL curriculum which is both useful and usable should be given careful consideration when, and if, revision of the NYS ESL Curriculum is undertaken.

Future Directions for Research

The findings of this study indicate several questions for future research in curriculum implementation:

1. Is the NYS ESL Curriculum implementer a more effective teacher than the teacher who has chosen not to use it?

This study did not seek to determine the quality of the NYS ESL Curriculum, nor did it seek to measure the impact of the Curriculum on the students. With the completion of the New York State Test of English as a Second Language (not yet available), student outcomes, based on the teacher's use of the NYS ESL Curriculum, will help to make the determination as to whether or not this curriculum has a positive, or any, impact on instruction. Advocates of instructional approaches which depart from the grammar-based model might, in fact, argue that use of this curriculum might even have a negative effect on students' language development.

2. Is inservice training important to the success of curriculum implementation?

In this study inservice training failed to emerge as a significant factor in the analysis. Future research might also explore the relative effectiveness of support materials, such as the teacher's manuals requested by respondents to the "packaging" question (item 50) in the survey. Unlike inservice training, print materials remain available for the lifetime of a curriculum, and that is often 15 years or longer. Furthermore, as Berman and McLaughlin (1976) suggest, local staff sometimes learns to rely too heavily on inservice training, and becomes unable to "learn by doing," and to adapt materials (and methods) to their own needs.

3. Which behaviors of the school principal do teachers find contribute most to the curriculum implementation effort?

The results of this study indicated that the role of the building principal in advocating the use of a curriculum is critical, even in the secondary schools. In a study of the implementation of a New York State K-6 social studies curriculum, another researcher found similar results. Wooster (1986) recommended that future research focus on different types of administrative style and personality in an effort to determine their relative importance to the implementatioon effort.

4. How can we develop and refine ways of conceptualizing levels of curriculum implementation?

Since there is no clear concensus as to how researchers can accurately identify the active implementation of an innovation,

research should continue in an effort to better conceptualize levels of implementation of school-based innovations such as curricula.

5. What approaches can be devised to effectively monitor the implementation of school-based innovations?

Efforts should continue, to devise ways to actively monitor the implementation of innovations through such techniques as on-site observation, teacher interviews, and survey questionnaires.

Conclusion

Implications of the findings of this study are considered applicable primarily to those who are responsible for large-scale implementation of a curriculum across multiple sites. The focus of this study was on the implementation of state-developed curricula, in general, and the NYS ESL Curriculum, in particular. However, the implications of the findings extend beyond New York State, and beyond the field of English as a second language, with wide applicability to other implementation efforts both nationally and internationally.

Appendix A

STATEMENT OF ASSURANCES

I, the Superintendent of this School District, hereby apply for approval to conduct the project described in this application and do certify and assure the State Education Department that this district is in compliance with the following provisions of law and regulations. (Superintendent Initial Each Item).

A. IDENTIFICATION OF ELIGIBLE PUPILS

Section 154.3(a) of the Regulations of the Commissioner of Edcuation. "To be eligible for the program each pupil shall be identified by use of an English language assessment instrument approved by the Commissioner, as a pupil with limited English proficiency."

B. REQUIRED BILINGUAL PROGRAM

Section 154.3(c)(1) of the Regulations of the Commissioner of Education. "Each school district which has an enrollment of twenty or more eligible pupils with limited English proficiency of the same grade level assigned to a building, all of whom have the same native language which is other than English, shall provide such pupils with bilingual education programs including instruction in English as a second language."

C. REQUIRED ENGLISH AS A SECOND LANGUAGE PROGRAM

Section 154.3(c)(2) of the Regulations of the Commissioner of Education. "Each schol district which has an eligible pupils with limited English proficiency of the same grade level assigned to a building, but which does not have twenty of such pupils with the same native language which is other than English, shall provide a program of English as a second language, and may alsc provide a program of bilingual education to such pupils."

D. ANNUAL EVALUATION

Section 154.3(b) of the Regulations of the Commissioner of Education. "A pupil's proficiency in English language shall be measured, at least annually, in order to determine further participation in a program of bilingual education and/or English as a second language. The eligibility of a pupil for such instruction shall continue until such time as the pupil achieves a level of English language skills which will enable the pupil to perform successfully in classes in which instruction is given only in English."

E. TEACHER CERTIFICATION

Sections 80.9 and 80.10 of the New Part 100 of the Regulations of the Commissioner of Education. "All instruction in bilingual education and English as a second language shall be provided by personnel holding the appropriate certification."

F. PARENTAL NOTIFICATION

Chapter 827 of the Laws of 1982. "The parent or guardian of a pupil designated as limited English proficient shall be informed by the local school authorities of the pupil's placement in an instructional program."

G. DOCUMENTATION OF REQUIRED UNITS OF SECOND LANGUAGE STUDY

Students in bilingual education programs in grades K-8 who have completed at least 180 minutes of instruction a week in a language other than English, should use that instruction to meet one unit of study of the second language required under the new Part 100 Regulations.

For LEP students, all study in the student's native language (non-English language) whether it be native language arts or study of subjects through the native language, i.e.: mathematics, social studies and science, may count toward the required second language unit of study.

Districts should record that the student has completed a unit of study in a second language as required by Part 100 of the Commissioner's Regulations by notation on the pupil's permanent record card.

H. ESL CURRICULUM

In grades 7-12, LEP students must receive the appropriate instruction recommended for their level of proficiency in the New York State Core Curriculum for English as a Second Language in the Secondary Schools.

I. NEW YORK STATE TESTING PROGRAM EXEMPTIONS FOR LEP PUPILS

For the purposes of State mandated pupil evaluation programs (PEP) tests, LEP pupils may take a PEP test in the native language, if available, and appropriate. In this case, tests are available in Chinese, French, Haitian-Creole, and Spanish for mathematics. Tests in Spanish are available for reading also.

J. EVALUATION OF PROGRAMS

Instructional components must be evaluated using the language through which instruction is given. Results of pupil achievement pre and posttesting must be reported on the Local Education Agency Program (LEAP) Annual Evaluation Report for all LEP students in the approved program.

K. EXEMPTIONS

Section 154.2(d)(1) of Part 154 of the Regulations provides the following exemptions of the program requirements in Section 154.3(c)(1) and (2): "A school district, which is subject to a court order or a party to a pre-existing agreement with an appropriate Federal agency requiring programs substantially equivalent to or in excess of those required under these regulations, will not be required to comply with these regulations and will be eligible for funds under this Part so long as the district is in compliance with the court order or agreement."

_____	_____
Name of School District	Name of Superintendent of Schools
_____	_____
Date	Signature of Superintendent

Appendix B

General Description of the New York State Core Curriculum for English as a Second Language in the Secondary Schools

The New York State Core Curriculum for English as a Second Language in the Secondary Schools (NYS ESL Curriculum) was designed by a statewide task force of twelve ESL teachers, teacher trainers and curriculum writers, under the direction of staff of the New York State Education Department Bureau of Bilingual Education. It was the intent of the task force to design a curriculum that would be reflective of instruction in the majority of ESL programs in the state, in order to make the curriculum both useful and usable for as many teachers as possible. The curriculum had to be practical, teachable, and "testable."

After much negotiation, it was agreed that grammar would be the focal point of the curriculum, supported by sections on vocabulary, listening and speaking skills, reading, writing, cultural topics, and language functions and contexts. These section divisions are repeated at each of four instructional levels: Beginning, Intermediate, Advanced and Transitional. To further elaborate:

1. Grammar is presented in a traditional sequence that can be found in most ESL textbooks, ranging from what is generally considered to be the linguistically simple to the more complex structures. For example, the simple present tense of the verb "to be" is introduced first, at the Beginning level, whereas modal auxiliary verbs (can,

must, should, ought to...) are item number 23 in the list of grammatical structures to be taught at that level.

2. Vocabulary focuses on the "survival" skills that high school students need, such as everyday vocabulary (common nouns, verbs, etc.) and school-related vocabulary (gymnasium, cafeteria, etc.). The vocabulary is grouped by subject area or parts of speech, for the teacher's easy reference.

3. The development of listening and speaking skills generally precedes the development of reading and writing skills in traditional ESL programs (those most frequently observed in New York State's schools). The intention of this approach is to preclude the student's reading without comprehension. (Many students seem to do well on reading comprehension exercises simply because they are clever test takers, yet they have little actual understanding of what they have read.) Separate sections are provided in the Curriculum for each of these two skills areas.

4. Reading skills, having been learned in any language, can usually be transferred to English. In the high school ESL program the teacher assumes some degree of literacy in the native language (although many students are not literate in any language). Thus the process of decoding the written English language generally proceeds with the use of reading materials which are representative of the oral language just learned.

This approach is not, however, universally endorsed among ESL teachers and researchers. Many students are visually oriented, rather than aurally/orally, some experts maintain, and can best be taught

through written materials, even at the early stages of instruction. Once again, the (assumed) status quo in the majority of ESL classrooms was the deciding factor. The introduction to the Reading section of the Curriculum, therefore, alerts the teacher to the fact that this section follows, and is is closely coordinated with the Listening and Speaking skills sections.

5. Writing, a productive rather than receptive skill, follows Reading in the order of presentation in the Curriculum. Once again, it is a (graphic) representation of that which has been learned aurally/orally.

6. Cultural Topics are presented as an independent section, intended to be applied to all of the instructional sections and to all four instructional levels of the curriculum. Topics such as: school, family, foods, clothing, and the neighborhood are included in this inventory.

7. Language Functions and Contexts are also presented as an independent section, intended for inclusion at each instructional level and in each section of the Curriculum. Functions such as: organizing, arranging and coordinating people, places and things are accompanied by possible contexts such as: planning a course of action, instructing others on how to do something, or setting up a group meeting. Both this section and the preceding section, Cultural Topics, are no more than three or four pages each, even though they are considered by some ESL practitioners to be far more critical than the teaching of grammatical structures (see Chapters II and V of this study).

Each section of the NYS ESL Curriculum - Grammar, Listening and Speaking, Reading, Writing, Cultural Topics, and Functions and Contexts is carefully coordinated with each of the other sections. For example, no vocabulary words are included in any of the examples of grammatical structures at the Beginning level that are not also included in the vocabulary lists for that level.

Other sections of the NYS ESL Curriculum include a Guide which provides a definition of ESL, advice on how to establish an ESL program, and recommendations on how to use the Curriculum. In the appendix section of the document a Glossary of Terms, a copy of Chapter 827 of New York State Education Law which governs state-funded instructional programs for limited English proficient students, sample forms to be used by ESL teachers and administrators, and other teacher reference materials are provided.

Teachers are urged to use the Curriculum as an inventory of skills and information from which lessons can be developed, rather than following the sequence of presentation which appears in the document. This approach was intended to allow for the widely divergent teaching styles found in ESL programs. Whether, in fact, that is the practice may be questionable, since the presentation of instructional items in a particular order implies that that order is recommended, in spite of statements in the Curriculum to the contrary.

The Curriculum is presented in a single, bound volume, 110 pages all-inclusive, and is 8 $^{1}/_{2}$ x 11 in size. Of the 110 pages, 21 consist of lists of grammatical structures to be taught, and examples of each of the structures are provided. There are 83 different

entries in this category, with some entries divided into four or more subsections. For example, Verbs TO BE (present tense) + Noun is further subdivided into: affirmative, interrogative-inversion, negative, short answers (affirmative), and short answers (negative).

The importance of the physical attributes of the NYS ESL Curriculum can be seen, in this study, in discussions of the "packaging" of the curriculum, such as recommendations made by teachers for a more flexible format, such as a curriculum in a loose-leaf binder or a kit, where the various components can be moved around at will, instead of a single, bound volume (see Chapter V of this study).

Appendix C

Table 4.

Effective Schools Correlates

EDMOND'S CORRELATES	LEZOTTE'S CORRELATES	NYSED CHARACTERISTICS
- strong instructional leadership	- appropriate & effective instructional leadership	- strong administrative leadership - on-going planning process
- clear instructional focus	- clear and focused mission	- academic goals - clearly defined curricula
- positive school climate	- safe and orderly environment	- positive school climate - order and discipline
- high expectations	- high expectations for success - opportunity to learn and student time-on-task	- opportunities for student responsibility/ participation - system of rewards and incentives - teacher/staff effectiveness
- measurement of student achievement	- frequent monitoring of student progress	- monitoring of student progress
	- home-school relations	- parent/community involvement

Source: Handout from "An Effective Schools Awareness Conference: The Research, School Improvement Process and Implementation," Saratoga Springs, New York, November 19-21, 1987.

SURVEY OF ESL TEACHERS IN NEW YORK STATE IN GRADES 7-12

This survey seeks information on the ESL program in which you teach. You are also asked to respond to questions about the New York State Core Curriculum for English as a Second Language in the Secondary Schools. Even if you are not at all familiar with the curriculum, please fill out and return this questionnaire. Select only one response for each item, but be sure to respond to every item in accordance with the directions. **All questionnaires are totally anonymous.**

DIRECTIONS: Please indicate your response in the space provided.

1. The location of my school district is best described as:. . . . . ☐

   a. New York City
   b. "Big 5" city other than New York City (i.e.,Buffalo, Yonkers, Rochester or Syracuse)
   c. small city
   d. suburb
   e. rural area

2. I usually teach ESL in: . . . . . ☐

   a. my own classroom
   b. a resource room that I share with others
   c. a corner of my students' regular classroom
   d. a converted book or storage room
   e. a temporary location (e.g., the hall, library, cafeteria. . .)

3. The place where I teach ESL allows for:. . . . . ☐

   a. unshared, permanent display of students' work and my lesson-related materials
   b. limited, permanent display space which I share with one or more teachers
   c. space for temporary displays which must be removed after each lesson
   d. chalkboard only
   e. no chalkboard or space for any displays, temporary or permanent (e.g., the hall)

4. The number of ESL teachers (including myself) in grades 7-12 in the building in which I do most of my teaching is: . . . . . ☐

5. On the average, the number of minutes per week that I meet with my ESL students is . . . . . ☐

6. The average number of students in each of my ESL classes is:. . . . . ☐

   a. less than 5
   b. 6 to 15
   c. 16 to 24
   d. 25 to 30
   e. more than 30

DIRECTIONS: Please circle your response using the following scale:

SA =strongly agree **A** =agree **U** =undecided
SD =strongly disagree **D** =disagree

7. The size of my ESL class is usually small enough to allow for frequent interaction with each of my students during each lesson . . . . . **SA A D SD U**

8. The amount of time I meet with my ESL students each week is adequate to meet the overall goals of the ESL program. . . . . **SA A D SD U**

9. A sufficient amount of time is provided in my program for planning lessons . . . . . **SA A D SD U**

10. A sufficient number of ESL textbooks and reading materials are readily available in my ESL program . . . . . **SA A D SD U**

11. Sufficient quantities of supplementary materials (other than books) such as videotapes, computers and software, tape recorders, language labs, television, etc., are readily available to my ESL program . . . . . **SA A D SD U**

DIRECTIONS: Please circle the most appropriate response.

12. I hold New York State certification or a New York City license in ESL. . . . . **YES NO**

13. I have a Masters degree in teaching ESL. . . . . **YES NO**

14. My student teaching experience was in ESL . . . . . **YES NO**

15. I have served on an ESL curriculum development committee (local or other) . . . . . **YES NO**

DIRECTIONS: Please indicate your response in the space provided.

16. My sex is: a. male b. female . . . . . ☐

17. For how many years have you taught ESL (count the current year as 1)? . . . . . ☐

18. My age range is: . . . . . ☐

a. under 26
b. 26 - 32
c. 33 - 40
d. 41 - 48
e. 49 - 56
f. 57 - 64
g. over 64

19. As an ESL teacher, I would rate myself as . . . . . [ ]

    a. outstanding
    b. highly effective
    c. satisfactory
    d. somewhat weak; in need of some additional training
    e. extremely weak; in need of a great deal of additional training

20. My knowledge of formal English grammar (such as the parts of speech, sentence diagramming, etc.) is best described as . . . . . [ ]

    a. far above average
    b. above average
    c. average
    d. somewhat weak; in need of some additional training
    e. extremely weak; in need of a great deal of additional training

DIRECTIONS: Please circle the most appropriate response.

21. My building principal schedules a meeting with me at least once each year to determine whether my ESL program is in need of instructional materials or any other form of assistance. . . . . YES NO

22. My building principal visits my ESL class(es) at least once each semester. . . . . YES NO

23. My school has a teacher's resource room which has information and materials (such as reference books and journals) to support the ESL program. . . . . YES NO

24. If I wish to do so, my district allows me to travel (with no loss of salary) to resource centers such as the BOCES, the State Education Department, the Board of Education or other site, in order to obtain technical assistance to help me with my ESL program.. . . . . YES NO

25. I am near enough to a college or university that I can take courses related to my field if I wish to do so.. . . . . YES NO

26. If I wish to do so, my district allows me the time off (with no loss of salary) to attend at least one state or national ESL conference each year. . . . . YES NO

27. I received inservice training to assist me in my understanding and use of the New York State Core Curriculum for English as a Second Language in the Secondary Schools (NYS ESL Curriculum). . . . . YES NO

28. I regularly attend inservice classes which are helpful to me as an ESL teacher. . . . . YES NO

DIRECTIONS: Please circle your response using the following scale:

SA =strongly agree **A** =agree **U** =undecided
SD =strongly disagree **D** =disagree

29. I am more likely to implement something new, such as a new curriculum, if I have a support group of other teachers in the same field with whom I can share ideas and discuss my implementation problems . . . . . SA A D SD U

30. Experts who are brought in from outside the school district to present one-day teacher training workshops have little or no impact on instructional programs . . . . . SA A D SD U

31. My best source of information when planning ESL lessons is the table of contents of the ESL textbook used by my students . . . . . SA A D SD U

32. My building principal generally encourages the use of state curricula in my school . . . . . SA A D SD U

33. My building principal is supportive of the ESL program in my school . . . . . SA A D SD U

DIRECTIONS: Please circle the most appropriate response.

34. I have seen and am familiar with the New York State Core Curriculum for English as a Second Language in the Secondary Schools (NYS ESL Curriculum) . . . . . YES NO

STOP! If you have not seen, and are not familiar with the NYS ESL Curriculum, please do not respond to any additional questions. Thank you for completing this questionnaire. Please return the questionnaire in the envelope provided. Be sure to mail the post card separately.

GO! If you have seen the NYS ESL Curriculum, and are familiar with it, please respond to the following items by circling the most appropriate response.

35. Prior to the NYS ESL Curriculum there was an ESL curriculum (either locally developed or other) in use in this district in grades 7-12. . . . . YES NO DON'T KNOW

If **YES**, is the NYS ESL Curriculum an improvement over the one previously used in this district? . . . . . YES NO

36. My building principal played an active role in encouraging me to implement the NYS ESL Curriculum. . . . . YES NO

37. Teacher's manuals and other materials to assist me in the use of the NYS ESL Curriculum are available in my school (or school district) . . . . . YES NO

DIRECTIONS: Please circle your response using the following scale:

SA =strongly agree **A** =agree **U**=undecided
SD =strongly disagree **D** =disagree

38. ESL teachers should refer to the NYS ESL Curriculum at the beginning of the school year in order to determine whether the ESL textbook they will be using corresponds to the Curriculum . . . . . SA A D SD U

39. After referring to the NYS ESL Curriculum at the beginning of the school year, it is usually not necessary for ESL teachers to refer to it again . . . . . SA A D SD U

40. The NYS ESL Curriculum places too much stress on the teaching of grammatical structures. . . . . SA A D SD U

41. Most of my students can achieve the objectives at each instructional level of the NYS ESL Curriculum . . . . . SA A D SD U

42. Major revisions to the NYS ESL Curriculum should be made to make it easier for the teacher to use . . . . . SA A D SD U

43. The NYS ESL Curriculum allows for the development of the communicative aspects of the ESL program such as contexts (e.g., introducing individuals to one another) and functions (e.g., socializing). . . . . SA A D SD U

44. The sequence followed at each instructional level of the NYS ESL Curriculum adequately reflects the instructional level that preceded it . . . . . SA A D SD U

45. The NYS ESL Curriculum corresponds with my views of how grammatical structures, listening skills, etc., should be sequenced for presentation to students . . . . . SA A D SD U

46. The goals, objectives and content of the NYS ESL Curriculum correspond to the ESL test(s) which my students are required to take . . . . . SA A D SD U

47. The NYS ESL Curriculum adequately reflects recent research in second language acquisition (e.g., The Natural Approach). . . . . SA A D SD U

48. The content of the NYS ESL Curriculum is easily adapted to the local school environment and interests of my students (e.g., inner-city, rural farm area, etc.) . . . . . SA A D SD U

49. The State Education Department should provide a supplementary manual, including sample lesson plans, to help teachers use the NYS ESL Curriculum . . . . . SA A D SD U

50. The NYS ESL Curriculum is "packaged" in book form. Which, if any, of the packaging approaches listed below would you prefer for the NYS ESL Curriculum. (Check all that apply.)

- ☐ a curriculum in two volumes, one of which is a teacher's resource manual
- ☐ a curriculum in a loose-leaf binder, with removable pages
- ☐ a curriculum with all instructional items on a computer program disk
- ☐ a curriculum in kit form, with all instructional items on sets of cards which can be grouped and regrouped for lesson planning
- ☐ other, please describe _____

DIRECTIONS: Please circle the most appropriate response.

51.	I have my own personal copy of the NYS ESL Curriculum	YES	NO
52.	I show the NYS ESL Curriculum to my students' classroom teachers, to administrative staff and to anyone who does not seem to understand what the ESL program is all about.	YES	NO
53.	I use the NYS ESL Curriculum as a guide for planning my ESL program	YES	NO

STOP!	If you do not use the NYS ESL Curriculum, even occasionally, please do not respond to any additional questions. Thank you for completing this questionnaire. Please return the questionnaire in the envelope provided. Be sure to mail the post card separately.
GO!	If you use the NYS ESL Curriculum, even occasionally, please complete this questionnaire by responding to the remaining items. **This final stage of the questionnaire is critical to this research, so please continue to the end of the survey. Thank you.**

DIRECTIONS: Please circle the appropriate responses.

In the left-hand column, indicate whether or not you have made any of the changes described. Check either **YES** or **No.**

In the right-hand column, indicate whether or not any of the changes you have indicated with a **YES** response were, either totally or in part, a result of using the NYS ESL Curriculum.

			If YES, this change was a result of using the NYS ESL Curriculum	
54. Within the past 3 years:	YES	NO	YES	NO
a. I have changed the grammatical structures that I teach at each instructional level.	☐	☐	☐	☐
b. I have changed the way I group my students for instruction.	☐	☐	☐	☐
c. I have included language contexts (e.g., giving directions) and functions (e.g., describing something) in most of my lessons.	☐	☐	☐	☐
d. I have changed the core of vocabulary items that I teach at each level.	☐	☐	☐	☐
e. I have placed more emphasis on reading skills.	☐	☐	☐	☐
f. I have changed my expectations of my ESL students.	☐	☐	☐	☐
g. I have placed more emphasis on writing.	☐	☐	☐	☐
h. I have provided my students with more instruction and practice in listening and speaking skills.	☐	☐	☐	☐
i. I have selected a different ESL textbook.	☐	☐	☐	☐

DIRECTIONS: Please circle your response using the following scale:

SA =strongly agree **A** =agree **U**=undecided
SD =strongly disagree **D** =disagree

55.	I encountered problems when I first tried to implement the NYS ESL Curriculum.	SA	A	D	SD	U
56.	I am still having difficulty understanding and using the NYS ESL Curriculum.	SA	A	D	SD	U
57.	It is easy to plan lessons using the NYS ESL Curriculum as a guide	SA	A	D	SD	U
58.	My effectiveness as an ESL teacher has increased as a direct result of using the NYS ESL Curriculum	SA	A	D	SD	U
59.	The Guide (introductory) sections of the NYS ESL Curriculum are a helpful resource when planning ESL lessons	SA	A	D	SD	U
60.	The appendices of the NYS ESL Curriculum, such as the glossary, are a helpful resource when planning ESL lessons	SA	A	D	SD	U
61.	When planning ESL lessons I usually refer to the NYS ESL Curriculum	SA	A	D	SD	U
62.	I would recommend the NYS ESL Curriculum to another ESL teacher	SA	A	D	SD	U

DIRECTIONS: Please circle your response using the following scale:

1 =no impact **3** =moderate impact **5** =extensive impact
2 =little impact **4** =considerable impact

63.	Overall, the NYS ESL Curriculum has had the following impact on my ESL teaching	1	2	3	4	5
64.	Overall, the NYS ESL Curriculum has had the following impact on the ESL program as a whole.	1	2	3	4	5

Thank you for taking the time to respond to this questionnaire. Please return the completed questionnaire in the return envelope provided. No postage is necessary. Remember to mail the enclosed post card separately so that your questionnaire remains anonymous. If you would like to receive a summary of the results of this research please so indicate by checking the box provided on the post card.

Appendix E

Intercorrelations of Independent Variables

VARIABLE NAMES (per questionnaire items)

1. geographic location
2. classroom type
3. display space available
4. number of ESL teachers
5. time with students
6. class size
7. frequent interaction
8. instructional time
9. planning time
10. sufficient textbooks
11. sufficient supplementary materials
12. ESL certification/license
13. ESL Masters Degree
14. ESL student teaching
15. ESL curriculum committee
16. sex
17. years teaching ESL
18. age range
19. self-evaluation of teacher
20. knowledge of formal grammar
21. meetings with principal
22. visits from principal to class
23. teachers' resource room
24. travel for technical assistance
25. near university
26. attends conferences
27. received inservice on curriculum
28. attends inservice regularly
29. peer group support
30. one-day workshops valuable
31. ESL text used for planning
32. principal supports state curricula
33. principal supports ESL program
34. familiarity with ESL curriculum (STOP POINT #1)

35a. prior ESL curriculum in district
35b. state curriculum is better
36. principal encouraged use of state curriculum
37. teachers' manuals available
38. refers to curriculum in September
39. continuous referral to curriculum unnecessary
40. too much stress on grammar
41. objectives are achievable
42. major revisions are needed
43. communicative aspects are included
44. instructional levels are well-designed (list continues)

45. teacher agrees with sequence
46. curriculum corresponds to ESL tests
47. recent research is reflected
48. curriculum adaptable to local setting
49. SED should do manual
50. respondent selects curriculum format options (1-5)
51. has copy of curriculum
52. uses curriculum to explain program
53. uses curriculum to plan program (STOP POINT # 2)

Changes within past three years:
54a. different grammatical structures / result of curriculum?
54b. groups students differently / result of curriculum?
54c. includes contexts and functions / result of curriculum?
54d. different vocabulary / result of curriculum?
54e. more stress on reading / result of curriculum?
54f. changed expectations / result of curriculum?
54g. more stress on writing / result of curriculum?
54h. more stress on listening and spking / result of curriculum?
54i. changed textbook / result of curriculum?

55. problems when first used curriculum
56. problems with use continuing
57. easy to use curriculum for lesson planning
58. effectiveness as ESL teacher has increased
59. Guide sections are helpful resource
60. appendices are helpful resource
61. usually refers to curriculum for lesson planning
62. would recommend curriculum to another teacher
63. impact of curriculum on teaching
64. impact of curriculum on ESL program

Table 5.

Intercorrelations of Independent Variables: Groups I, II and III

(decimals omitted)

Variables	33	32	31	30	29	28	27	26	25	24	23	22
Item 4	01	-03	01	-12	00	02	-13	19	-10	12	-34	-02
Item 6	06	-04	-05	-19	03	15	-13	25	-18	23	-15	-16
Item 7	11	03	06	-13	05	04	-05	15	-08	13	07	-07
Item 8	19	11	03	-14	-02	01	05	08	12	09	13	05
Item 9	20	04	-01	-04	-05	04	10	06	03	15	17	13
Item 10	23	17	10	-13	03	04	-05	15	08	19	19	08
Item 11	22	19	-04	-06	-02	11	03	16	10	19	21	07
Item 12	-00	-03	-08	-03	-00	04	03	06	06	05	-04	05
Item 13	-04	-00	-05	05	06	02	-06	-03	04	-01	-05	-02
Item 14	-08	-01	-04	08	07	09	00	01	05	-02	03	05
Item 15	03	01	-07	07	08	06	12	00	08	07	08	12
Item 16	05	04	07	05	05	-10	-04	-16	01	-07	10	09
Item 17	06	10	08	-09	01	01	-13	-05	-08	03	-06	02
Item 18	-09	-05	-02	03	07	-02	-16	-03	-18	-03	-06	-02
Item 19	09	-05	-06	05	-05	03	01	01	14	-04	00	08
Item 20	-03	12	01	03	03	03	00	05	13	-02	-06	-10
Item 21	43	29	-03	-07	12	12	21	09	06	20	14	41
Item 22	27	21	-03	02	08	20	19	-01	05	10	20	--
Item 23	21	18	06	06	02	03	21	-04	07	06	--	
Item 24	16	12	-10	-21	09	18	02	55	-03	--		
Item 25	04	09	04	-02	02	05	15	-04	--			
Item 26	11	11	-13	-15	02	06	04	--				
Item 27	04	13	00	10	-05	20	--					
Item 28	15	09	-14	-09	10	--						
Item 29	14	16	-02	-06	--							
Item 30	-13	-05	07	--								
Item 31	-11	06	--									
Item 32	33	--										
Item 33	--											

(table continues)

Variables	21	20	19	18	17	16	15	14	13	12	11	10	9	8	7	6	4
Item 4	07	00	-08	05	16	-09	-06	-02	-00	-04	01	-02	-05	12	20	33	--
Item 6	02	05	-06	-01	15	-13	-05	-06	02	03	15	14	07	10	61	--	
Item 7	04	04	-03	-02	10	-05	-03	-10	-04	-01	19	20	21	27	--		
Item 8	11	-07	05	01	12	04	-12	-03	-09	00	21	22	18	--			
Item 9	18	-06	01	-00	00	-04	01	-06	-10	-01	24	21	--				
Item 10	18	10	10	-12	-10	-02	11	-00	10	19	53	--					
Item 11	18	11	06	-08	-07	-03	06	-02	05	16	--						
Item 12	-08	08	26	-17	-37	-11	13	23	43	--							
Item 13	-03	02	17	02	-11	-06	13	45	--								
Item 14	02	-01	08	14	-04	-03	04	--									
Item 15	12	05	17	-11	-28	05	--										
Item 16	05	-10	-14	-01	-05	--											
Item 17	-04	-11	-25	35	--												
Item 18	-14	-19	-11	--													
Item 19	04	26	--														
Item 20	-01	--															
Item 21	--																

Table 6.

Intercorrelations of Independent Variables: Groups II and III
(decimals omitted)

Variables	48	47	46	45	44	43	42	41	40	39	38	37	36
Item 4	05	02	-01	-13	-02	04	-09	02	-10	-21	00	-14	-16
Item 6	03	-04	11	-04	-04	05	-09	-01	-03	-01	-14	-18	-06
Item 7	05	-08	09	07	-07	-02	-06	06	06	07	-10	-00	00
Item 8	06	-01	14	21	06	-04	01	27	17	25	-03	10	10
Item 9	06	-09	11	13	-01	07	-10	12	-00	10	03	16	-00
Item 10	10	13	15	13	02	-04	05	13	04	05	06	10	03
Item 11	06	02	16	-05	-07	-02	-05	18	09	14	-03	10	10
Item 12	-01	-10	10	03	11	-10	-19	14	00	-02	08	-14	-16
Item 13	-05	-05	-01	02	15	-11	05	-04	-04	-02	00	-03	-02
Item 14	-00	-01	-08	-06	06	14	03	01	-02	-12	01	-15	-04
Item 15	-03	-02	07	-07	04	-02	-02	13	04	05	08	-10	06
Item 16	03	10	07	-03	-05	06	05	-05	-01	-04	10	12	29
Item 17	05	15	-02	-08	06	18	12	-11	05	-01	03	03	13
Item 18	-05	01	-12	-07	01	04	07	15	04	-08	07	-07	16
Item 19	02	-06	06	08	10	06	-06	28	06	03	07	01	01
Item 20	-16	15	01	02	-07	03	10	-07	-14	-08	12	-11	04
Item 21	01	04	00	-00	-06	07	15	-00	17	10	07	26	37
Item 22	-02	11	07	-00	-05	03	10	11	07	10	00	15	23
Item 23	-08	02	09	08	-05	-03	02	16	11	28	-09	39	27
Item 24	-02	-10	04	-05	-09	-11	02	07	19	10	-01	-08	-20
Item 25	01	01	10	11	08	-01	-08	11	-07	05	13	13	09
Item 26	05	-10	02	05	-04	00	-11	05	-02	-01	07	-11	-16
Item 27	15	14	18	09	03	08	-08	09	02	17	-00	24	24

(table continues)

Variables	48	47	46	45	44	43	42	41	40	39	38	37	36
Item 28	-03	-03	05	-16	-11	-07	15	03	14	07	-16	-05	01
Item 29	-02	-03	-10	05	01	-04	15	10	14	-02	23	-02	11
Item 30	08	-04	-03	-04	02	-05	17	-06	02	18	-00	12	11
Item 31	12	24	04	14	10	10	07	05	00	23	03	14	05
Item 32	03	03	04	-03	12	10	05	00	05	15	16	35	40
Item 33	09	-01	-02	08	-03	03	17	13	07	10	08	22	37
Item 34	*	*	*	*	*	*	*	*	*	*	*	*	*
Item 35a	14	14	15	17	16	04	00	13	-01	14	04	35	25
Item 35b	19	21	03	11	02	11	01	-04	-09	-18	35	07	15
Item 36	14	18	11	06	14	20	07	00	-01	11	19	32	--
Item 37	13	08	22	14	20	11	-12	06	-03	13	10	--	
Item 38	33	32	24	41	29	15	-15	15	-16	23	--		
Item 39	-14	-04	11	-20	-02	-10	18	18	49	--			
Item 40	-22	-19	-01	-28	-14	-17	29	14	--				
Item 41	19	-00	32	20	17	07	-20	--					
Item 42	-34	-11	-29	-36	-34	-28	--						
Item 43	51	47	19	33	42	--							
Item 44	35	27	18	40	--								
Item 45	47	47	36	--									
Item 46	34	29	--										
Item 47	45	--											
Item 48	--												

Note: * Indicates correlations which cannot be computed. Question 34 was used as a stopping point in the survey questionnaire, to distinguish Group I teachers from all others.

(table continues)

Variables	35b	35a	34	33	32	31	30	29	28	27	26	25	24
Item 4	05	-20	*	-14	-11	03	-09	-12	05	-19	17	-12	03
Item 6	10	-34	*	-02	-09	-08	-20	03	21	-10	28	-24	22
Item 7	11	-16	*	05	-01	03	-11	-02	06	-02	16	-13	13
Item 8	00	03	*	12	20	-01	-09	02	04	09	15	16	17
Item 9	-02	13	*	23	11	03	04	-03	03	11	08	02	17
Item 10	07	04	*	17	16	24	-24	02	04	-11	06	12	21
Item 11	-02	08	*	20	17	-00	-15	01	18	07	22	20	23
Item 12	04	-01	*	-14	-07	-00	-10	08	06	-07	12	12	02
Item 13	-01	06	*	-18	-02	-08	06	14	02	-28	-18	07	-13
Item 14	04	-08	*	-14	-04	-11	09	17	05	-22	-04	-03	-09
Item 15	-07	20	*	-06	-00	01	15	02	03	11	-04	15	01
Item 16	12	24	*	19	08	-06	09	11	-07	03	-28	08	-13
Item 17	16	-19	*	-01	20	02	-03	05	-01	-15	04	-19	-03
Item 18	05	-17	*	-10	-12	-13	-02	09	-07	-29	-04	-21	-09
Item 19	-05	11	*	01	-09	04	17	-10	-05	07	-15	21	-13
Item 20	09	-06	*	-03	-00	11	11	01	-04	-05	-07	04	-07
Item 21	04	08	*	47	32	-03	-04	11	11	21	-01	13	21
Item 22	07	12	*	31	28	01	03	16	18	17	-01	06	12
Item 23	05	33	*	24	26	04	15	04	03	32	-04	14	05
Item 24	17	-14	*	14	08	-10	-15	13	24	06	56	-04	--
Item 25	-03	28	*	03	12	12	-04	06	02	20	-06	--	
Item 26	-01	-28	*	10	02	-06	-22	-01	05	04	--		
Item 27	05	26	*	05	11	09	14	-13	10	--			
Item 28	13	13	*	-05	03	-11	-05	13	--				
Item 29	22	04	*	21	09	00	01	--					
Item 30	01	15	*	-07	02	08	--						
Item 31	-05	15	*	01	15	--							
Item 32	12	12	*	28	--								
Item 33	02	07	*	--									
Item 34	*	*	*										
Item 35a	-05	--											
Item 35b	--												

Note: * indicates correlations which cannot be computed. Question 24 was used as a stopping point in the survey questionnaire, to distinguish Group I teachers from all others.

(table continues)

Variables	23	22	21	20	19	18	17	16	15	14	13	12	11	10	9	8	7	6	4
Item 4	-34	-11	-10	03	-22	-00	10	-08	-11	07	-11	-04	04	-05	-16	-24	14	35	--
Item 6	-14	-23	-04	05	-25	08	31	-21	-21	02	-05	-13	17	17	04	06	61	--	
Item 7	01	-17	03	-02	-14	02	15	-07	-13	-10	-10	-12	19	21	19	26	--		
Item 8	15	03	13	04	09	-04	02	-13	-18	-05	-13	02	31	32	25	--			
Item 9	21	16	14	-02	10	-06	-08	03	-08	-09	-22	06	28	15	--				
Item 10	10	-00	14	15	15	-10	-02	-09	11	-02	08	13	52	--					
Item 11	19	11	25	00	10	-16	-09	-11	07	-07	07	18	--						
Item 12	-02	07	-12	07	25	-18	-25	-14	09	24	38	--							
Item 13	-07	-11	-12	-10	09	06	10	-01	10	36	--								
Item 14	-08	01	-04	04	15	08	10	-13	-03	--									
Item 15	09	13	01	06	22	-20	-34	15	--										
Item 16	05	07	10	-01	03	-13	-10	--											
Item 17	-19	01	-03	-02	-27	46	--												
Item 18	-20	-14	-19	-14	-23	--													
Item 19	10	14	03	22	--														
Item 20	-05	-08	-05	--															
Item 21	23	47	--																
Item 22	25	--																	
Item 23	--																		

Appendix F

Pilot Test Procedures and Results

A pilot test of the survey instrument was conducted in March 1987, to determine the validity and the reliability of the measure. Twenty-six ESL teachers were identified through contacts with ESL specialists who regularly train ESL teachers. These specialists submitted the names of ESL teachers whom they judged to be either implementers or non-implementers of the NYS ESL Curriculum, and designated which teachers fell into each category. Concurrent validity of the survey questionnaire was supported by the fact that in only two cases did the questionnaire results contradict the teacher's predicted status of implementation. This was demonstrated by which of the three sections of the questionnaire each teacher completed, thereby placing them into Groups I, II (both non-implementers) or III (implementers).

As each questionnaire was mailed to the pilot tester, a color-coded sticker was provided. The significance of the red sticker (predicted non-implementer) or green sticker (predicted implementer) was known only to the researcher. The stickers were used to designate which teachers had been predicted to fall into either of the two groups. The pilot respondents were directed to seal the completed self-mailing questionnaire, using the color-coded sticker, before returning it to the researcher. (It should be noted that the value of a pilot test was further affirmed in that several of the self-mailing questionnaires were returned in an unusable condition due to the repondent's failure to seal it properly and/or damage in post office

machinery. In the actual survey return envelopes were provided instead.)

The geographical distribution of the pilot testers was similar to the statewide distribution of ESL teachers who would eventually be surveyed. Furthermore, the respondents, all public school teachers of ESL in grades 7-12, were of the same population that would be participating in the actual survey.

An analysis of the pilot test results, reviewing both responses to questions and the respondents' written comments, signaled a need for some changes in the survey instrument. The responses of all of the subjects were analyzed to determine, for example, which questions had elicited the greatest number of "undecided" or missing responses. Responses were also analyzed in separate groups of implementers and non-implementers, to determine whether the questionnaires supported these reported practices.

Content Validity Reviews

The content validity of the survey questionnaire was further assured through a review that was conducted, simultaneously with the pilot test, by five carefully selected experts in the field of ESL. Four were professors in (or heads of) ESL teacher training programs in major colleges or universities in, or in the vicinity of, New York City: Fordham, CUNY Hunter, Montclair State, CUNY Queens, and C.W.Post; three had served on ESL curriculum development task forces for the State Education Department; two continued to teach ESL in the public schools while also acting as ESL program administrators in their school districts; and one was an ESL specialist for the New York

City Board of Education. In addition, three had held elected offices with the New York State association of ESL teachers.

Overall, the comments of the reviewers were extremely positive and encouraging. For example, one reviewer stated, "Your study questions should prove very effective in eliciting both the personal and programmatic responses which will help determine the degree of implementation of the New York State core curriculum..." Another commented that, "It is my opinion that the variables you have chosen are indeed the ones which relate most closely to the adaptation or not of a new curriculum, and that the items in each category seem valid." A third reviewer had several recommendations for change but commented, overall, as follows: "I am impressed with the comprehensive set of items that deal with teacher characteristics, etc. along with (sic) Core Curriculum. In my opinion, the majority of your items are reflective of your variables." This same reviewer also commented on the cover letter from Deputy Commissioner Freeborne (written by the researcher), stating that one section of the letter, in particular, had an "excellent tone." Recommendations for changes that were made were similar to those offered by the pilot testers.

Table 7.

Predicted and Actual Levels of Curriculum Implementation Among Pilot Test Respondents

Pilot tester	Implementation predicted	Results indicated	Questionnaire was returned
	N = 26		
#1 Jericho, NY 11753	yes	yes	yes
#2 Glen Head, NY 11545	yes	yes	yes
#3 Buffalo, NY 14213	yes	—	no
#4 Amherst, NY 14226	no	yes	yes
#5 Bronx, NY 10468	yes	no	yes
#6 Bronx, NY 10458	no	no	yes
#7 New York, NY 10021	yes	yes	yes
#8 Ridgewood, NY 11385	no	—	no
#9 Bronx, NY 10463	no	—	no
#10 New York, NY 10025	no	—	no
#11 Newburgh, NY 12550	no	—	yes[a]

Note. a) Questionnaire was received; damage from post office machinery rendered it unusable.

(table continues)

Pilot tester	Implementation predicted	Results indicated	Questionnaire was returned
	N = 26		
#12 Newburgh, NY 12550	yes	yes	yes
#13 North Greece, NY 14515	yes	yes	yes
#14 Brockport, NY 14420	yes	—	no
#15 Rochester, NY 14610	no	—	no
#16 Rochester, NY 14619	no	no	yes
#17 Bronx, NY 10472	yes	yes	yes
#18 New York, NY 10040	yes	—	no
#19 Auburn, NY 13021	yes	—	yes[b]
#20 New York, NY 10024	no	—	no
#21 Liverpool, NY 13088	yes	yes	yes
#22 Manlius, NY 13104	no	no	yes
#23 Marcellus, NY 13108	no	no	yes
#24 E. Northport, NY 11731	yes	yes	yes

Note. b) Questionnaire was received; damage from post office machinery rendered it unusable.

(table continues)

Pilot tester	Implementation predicted	Results indicated	Questionnaire was returned
	N = 26		
#25 Bayside, NY 11361	yes	yes	yes
#26 Long Island City, NY 11104	no	—	no[c]

Note. c) Questionnaire was not received by subject.

Table 8.

Summary of Pilot Test Questionnaire Returns

Geographical distribution of subjects: 10 in New York City, 3 in "Big 5" cities other than New York (Buffalo, Rochester, Yonkers, Syracuse), 4 in small cities, 9 in suburban or rural areas

Summary of information:
Total number of questionnaires sent: 26
Total number of questionnaires returned: 18 (69%)
Total number of questionnaires returned and tabulated: 16 (62%)
Total number of questionnaires returned but not usable (due to damage in the mail): 2
Total number of questionnaires not received by the subject: 1
Total number of questionnaires not returned: 7

Implementers
Total number of implementer (reported) questionnaires sent (including 2 reported as possible implementers; sources were not sure): 12+2=14
Total number of implementer (reported) questionnaires returned: 12
Total number of implementer (reported) questionnaires returned but not usable: 1
Total number of implementer (reported) questionnaires assumed received but not returned: 2
Total number of implementer (reported) questionnaires which were tabulated as non-implementer, as per results: 1
Total number of non-implementer (reported) questionnaires which were tabulated as implementer, as per results: 1
Total number of questionnaires returned and tabulated as implementer:11

Non-implementers
Total number of non-implementer (reported) questionnaires sent: 12
Total number of non-implementer (reported) questionnaires returned: 6
Total number of non-implementer (reported) questionnaires returned but not usable: 1
Total number of non-implementer (reported) questionnaires which were not received by the subject: 1
Total number of non-implementer (reported) questionnaires assumed received but not returned: 5
Total number of non-implementer (reported) questionnaires which were tabulated as implementer, as per results: 1
Total number of implementer (reported) questionnaires which were tabulated as non-implementer, as per results: 1
Total number of questionnaires returned and tabulated as non-implementer: 5

PILOT TEST REVIEW FORM

Dear :

Your name has been submitted to me by as one of 26 ESL teachers in the State who are being asked to participate in a pilot test of the attached questionnaire. Before the questionnaire is distributed to the nearly 900 ESL teachers in grades 7-12 throughout the State, it is important that a pilot test be conducted in order to identify any potential problems. Please note:

1. All questionnaires, and this review form, will remain strictly confidential.

2. Please follow all directions as if you were actually completing the questionnaire as part of the statewide survey. Once you have participated in this pilot test you will not be asked to fill out another questionnaire when the actual survey is conducted.

3. Please note the time when you begin to respond to the questionnaire and the time when you complete it.

PLEASE ANSWER THE FOLLOWING QUESTIONS AND RETURN THIS FORM WITH YOUR QUESTIONNAIRE:

1. Approximately how many minutes did it take for you to complete the questionnaire? _____

2. Which questions, if any, were not clear to you? (Please give question number(s) and, if possible, reason(s) why the items presented difficulty to you.) _____

_____

_____

_____

_____

_____

3. Which of the directions, if any, were difficult to follow?

_____

_____

_____

_____

4. Please add any additional comments you wish to make on any aspects of this research.

_____

_____

_____

_____

_____

_____

Thank you very much for taking the time to assist with this pilot test. Your cooperation is greatly appreciated.

_____

(Please sign your name here, unless you prefer to remain anonymous. All responses to the questionnaire and to this review form will be strictly confidential.)

Sincerely,

Laurie Wellman

13 Grant Court
Guilderland, New York 12084
February 14, 1987

Dear ,

I am currently working on a doctoral dissertation which is a study to determine which factors exist in schools where the New York State Core Curriculum for English as a Second Language in the Secondary Schools is being used by English as a second language (ESL) teachers in grades 7-12. The study also seeks to identify those factors which are not present in buildings where there is little or no use of the Curriculum. For example, is it the background, experience and training of the ESL teacher that is the most significant determinant of curriculum implementation? Is it the availability of instructional space, time and materials that is most important? Is it the principal's support of the ESL program? Other? This study will, it is hoped, have an impact on the field of ESL and on curriculum development at the State level.

I am calling on you, and several other friends and colleagues from around the State, to assist me in the arrangements for pilot testing the survey questionnaire which will eventually be distributed to ESL teachers in grades 7-12, statewide. It is essential that the pilot test demonstrates that the questionnaire has the power to distinguish a high implementer of the Curriculum from the teacher who refers to it only rarely -if at all. I would very much appreciate it if you would do the following:

1. Think of any ESL teachers in grades 7-12 with whom you have close contact.

2. Select two of those teachers who, in your opinion, refer to the New York State ESL Curriculum on a regular basis, who are very familiar with its contents, who speak favorably of it and who would, if asked, recommend it to another ESL teacher.

3. Select two other ESL teachers in grades 7-12 who, in your estimation, either never refer to the Curriculum (or do so rarely), who do not seem to be familiar with its contents, and who, when asked, do not feel that the Curriculum is of benefit to their ESL program.

4. Write the names and mailing addresses of the four teachers, indicating which are the high and which are the low (or non-implementers of the Curriculum. Please mail the information to me at my home address which appears at the top of this letter.

Please be assured that all questionnaires will be totally confidential, and that information received pertaining to teachers' practices will be considered confidential as well. Also, please understand that you are under no obligation whatsoever to respond to this request - this is a personal request only. And, finally, if your schedule does not permit you to respond within two weeks, please just let me know.

A return envelope is enclosed for your convenience. Thank you so much for your assistance.

Sincerely,

Laurie Wellman

letters sent to contacts in:

Buffalo
Rochester
Syracuse
NYC
NYC
Long Island
Newburgh
Rockland County
NYC

13 Grant Court
Guilderland, New York 12084
February 24, 1987

Dr.

Dear Dr. :

I am writing to five colleagues who are experts in the field of English as a second language (ESL) to ask for their assistance in helping me to determine the face validity of the enclosed questionnaire. This questionnaire will be distributed to ESL teachers throughout the State, in grades 7-12, as part of my doctoral dissertation. I would very much appreciate it if you would look over the questionnaire in order to determine whether, in your opinion, it adequately reflects the elements of an ESL program that I have selected as my independent variables.

The objective of my research is to determine the extent of implementation of the New York State Core Curriculum for English as a Second Language in the Secondary Schools, published by the New York State Education Department in 1983. This will be a follow-up study to determine those factors which are apparent in schools where curriculum implementation is occurring, and not present (or limited) in sites where there is little or no implementation. The particular variables that I will be investigating, based on implementation and change agent research, are listed on the attached page. Basically, I am looking for evidence of support of the ESL program on the part of the building principal and from inservice and peer group; information on the context in which the curriculum is being used (eg., Are space, time and instructional materials adequate? Does the ESL teacher have sufficient and appropriate training and experience?) and, indicators of the teachers' perceptions of the actual document. In short, I will seek to determine which of the variables correlate most strongly with full implementation of the curriculum.

I thank you very much for your assistance. If it is not convenient for you to respond to this request within the next two weeks, please let me know. If not, I look forward to receiving your comments on the content and layout of the questionnaire, questions you might delete or add, and any other observations which you might wish to share. A return envelope is enclosed for your convenience.

Sincerely,

Laurie Wellman

Appendix G

NEW YORK
THE STATE OF LEARNING

THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, N.Y. 12234

DEPUTY COMMISSIONER FOR ELEMENTARY, SECONDARY AND CONTINUING EDUCATION

May 22, 1987

SURVEY of ENGLISH AS A SECOND LANGUAGE TEACHERS in Grades 7-12

Dear English as a second language teacher:

As the New York State Education Department focuses on both excellence and equity in its efforts toward school improvement, increased emphasis must be placed on the particular needs of the more than 100,000 limited English proficient (LEP) students in our schools.

You are being asked to provide valuable support to this ongoing effort by filling out, and returning, the attached questionnaire. I hope that you will take advantage of this opportunity to share information about your ESL program, as well as some of your opinions about the New York State curriculum for ESL. The results of this survey will be part of a doctoral dissertation, and will benefit both the field of ESL and the curriculum development, dissemination and implementation efforts of the New York State Education Department.

The questionnaires will be returned to the State University of New York at Albany and will remain totally anonymous. The time required to fill out the questionnaire should be no more than 15 to 20 minutes. Please return the questionnaire as soon as possible in the envelope provided. Thank you for your cooperation.

Sincerely,

Gerald L. Freeborne

Gerald L. Freeborne
Deputy Commissioner

NEW YORK
THE STATE OF LEARNING

THE STATE EDUCATION DEPARTMENT / THE UNIVERSITY OF THE STATE OF NEW YORK / ALBANY, N.Y. 12234

June 19,1987

Dear English as a second language teacher:

Recently, you received a survey of English as a second language teachers in grades 7-12. If you have not already done so, please fill out the survey and return it in the envelope provided. (A second copy of the survey is enclosed for your convenience.)

Although, as Deputy Commissioner Gerald Freeborne indicated in his cover letter, the results of the survey will benefit the New York State Education Department, the survey will also serve as the research base for my doctoral dissertation. In order to make the research findings significant it is important that a certain percentage of the surveys be completed and returned. Won't you please take a few minutes to fill out the survey? Thanks very much for your help.

Sincerely,

Laurie Wellman

Laurie Wellman

SURVEY OF ENGLISH AS A SECOND LANGUAGE TEACHERS

☐ I have placed my survey questionnaire in the mail

I would like to receive a summary of the survey results

☐ Yes ☐ No

ESL Curriculum Study
Ed. Prog. Develop. & Evaluation
Education Building – Room 334
SUNY Albany
Albany, New York 12222

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Appendix H

Characteristics of Respondents and Their ESL Programs

Table 9.

Characteristics of the Survey Respondents N = 465

Classification	Frequency	Percentage Frequency
Sex		
male	122	26.2
female	333	71.6
NR	10	2.2
ESL Certification/ License		
Yes	299	64.3
No	156	33.5
NR	10	2.2
Masters in ESL		
Yes	161	34.6
No	284	61.1
NR	20	4.3
Student Taught in ESL		
Yes	127	27.3
No	315	67.7
NR	23	4.9
Served on ESL Curriculum Committee		
Yes	167	35.9
No	280	60.2
NR	18	3.9
Self-Evaluation as ESL Teacher		
outstanding	95	20.4
highly effective	272	58.5
satisfactory	77	16.6
somewhat weak	14	3.0
extremely weak	2	.4
NR	5	1.1

NR = no response

(table continues)

Classification	Frequency	Percentage Frequency
Self-Evaluation: Knowledge of Formal Grammar		
far above average	217	46.7
above average	199	42.8
average	40	8.6
somewhat weak	4	.9
extremely weak	1	.2
NR	4	.9

Note. Mean number of years teaching ESL = 7.59
Minimum number of years teaching ESL = 1
Maximum number of years teaching ESL = 34

NR=no response

Table 10.

Characteristics of Respondents' ESL Programs

N=465

Classification	Frequency	Percentage Frequency
Geographic Location		
NYC	286	61.5
"Big 5" City	26	5.6
Small City	24	5.2
Suburb	110	23.7
Rural Area	17	3.7
NR	2	.4
Classroom Type		
Own Classroom	379	81.5
Shared Resource Room	39	8.4
In Students' Classroom	5	1.1
Converted Storage Room	15	3.2
Temporary (eg.,hall)	24	5.2
NR	3	.6
Display Space		
Unshared	176	37.8
Shared	195	41.9
Temporary	36	7.7
Chalkboard Only	46	9.9
None	9	1.9
NR	3	.6
Class Size		
Less Than 5	52	11.2
6-15	150	32.3
16-24	145	31.2
25-30	92	19.8
over 30	26	5.6
Adequate Instructional Time		
Strongly Agree	83	17.8
Agree	225	48.4
Undecided	20	4.3
Disagree	98	21.1
Strongly Disagree	32	6.9
NR	7	1.5

NR = no response

(table continues)

Classification	Frequency	Percentage Frequency
Adequate Planning Time		
Strongly Agree	43	9.2
Agree	193	41.5
Undecided	13	2.8
Disagree	142	30.5
Strongly Disagree	67	14.4
NR	7	1.5
Sufficient Materials		
Strongly Agree	82	17.6
Agree	196	42.2
Undecided	10	2.2
Disagree	115	24.7
Strongly Disagree	53	11.4
NR	9	1.9
ESL Teacher Resource Room		
Yes	167	35.9
NO	291	62.6
NR	7	1.5

NR=no response

Note. There are several observations that can be made regarding the characteristics of the ESL programs in which the implementation of the NYS ESL Curriculum was attempted, as depicted in Table 10:

1. The second largest concentration of ESL programs, after New York City, occurs in suburban areas throughout the state (23.7% in this study). Many of these teachers do not have ready access to colleges which offer courses in ESL or to other support services available in large urban centers (eg., New York City Board of Education training workshops).

2. The fact that 8.4% of the respondents must provide services in inadequate settings such as converted book or storage rooms, the hall, the cafeteria or the school library must be a concern to those who are interested in the education and well-being of ESL students. Whether these teachers are able to implement the NYS ESL (or any other) Curriculum may be questionable under the circumstances. This less than optimal learning environment is further evidenced by the fact that fully 19.5% of those surveyed had temporary (must be removed after each lesson) or no space in which to display instructional materials and students' work.

3. In addition to the possibly negative teaching environments in which many ESL teachers reported their programs in this study, it is even more alarming to note that fully 25.4% of the respondents reported class sizes at, or exceeding 25 students. The acceptable maximum number for a language class is generally considered to be 15 students.

4. Adequate time for instruction and for planning lessons also appeared to be a problem for many respondents to this study. One might question whether the 28% of the teachers who reported that they did not have adequate time to meet the objectives of the ESL program, and the 44.9% who reported inadequate planning time would be in a position to implement the NYS ESL Curriculum.

5. Adequacy of instructional materials was a problem for more than 36% of the repondents. The adequacy of space, time and materials are all critical factors in the success of an implementation effort, according to the literature.

6. Finally, 62.6% of the respondents reported that their building did not have a teachers' resource room in which ESL-related reference materials could be found. This might be an indicator that ESL programs are still not totally integrated into the life of the school. Furthermore, a lack of support for the ESL program, in general, might also point to a lack of support of ESL teachers in their efforts to implement a new curriculum.

Appendix I

Indicators of Curriculum Implementation

In the third, and final section of the survey questionnaire Group III (User) teachers were asked specific questions in an attempt to verify that they were implementing the NYS ESL Curriculum. Reported use, according to the literature, is not a sufficient indicator of actual use. Change, brought about as a result of implementation of an innovation is, however, considered to be one fairly strong indicator of implementation.

In Table 11, responses to a two-part question are summarized. In the first part, Group III (User) respondents were asked if they had made a particular change in their ESL instructional program within the last three years; in the second part, respondents were asked if this change was as a result of use of the NYS ESL Curriculum.

The number of responses to these questions (items 54 a-i) varies widely. It is assumed that one reason for this wide fluctuation in the N is a fatigue factor, since this relatively complex question appeared towards the end of the lengthy survey questionnaire. Furthermore, the category of "no response" (NR) is also high because Group I (Unaware) and Group II (Rejecter) teachers were excluded from this section of the questionnaire.

In Table 12, the overall impact of the NYS ESL Curriculum on the ESL program is reported. This is a further indication of the degree of implementation of the Curriculum.

Table 11.

Changes in Respondents' ESL Programs Within the Last Three Years

Type of Change N = 465	Frequency	Percentage Frequency
In Grammar Taught		
Yes	106	22.8
No	79	17.0
NR	280	60.2
Result of Curriculum		
Yes	57	12.3
NO	40	8.6
NR	368	79.1
In Grouping of Students		
Yes	69	14.8
No	114	24.5
NR	282	60.6
Result of Curriculum		
Yes	19	4.1
NO	41	8.8
NR	405	87.1
In Contexts and Functions Taught		
YES	160	34.4
NO	25	5.4
NR	280	60.2
Result of Curriculum		
Yes	47	10.1
No	93	20.0
NR	325	69.9
In Vocabulary Taught		
Yes	100	21.5
NO	82	17.6
NR	283	60.9
Result of Curriculum		
Yes	56	12.0
NO	36	7.7
NR	373	80.2

(table continues)

Type of Change N = 465	Frequency	Percentage Frequency
In Reading Taught		
Yes	119	25.6
NO	64	13.8
NR	282	60.6
Result of Curriculum		
Yes	36	7.7
No	69	14.8
NR	360	77.4
In Expectations of Students		
Yes	76	16.3
No	109	23.4
NR	280	60.2
Result of Curriculum		
Yes	27	5.8
No	40	8.6
NR	398	85.6
In Writing Taught		
Yes	129	27.7
No	52	11.2
NR	284	61.1
Result of Curriculum		
Yes	44	9.5
No	70	15.1
NR	351	75.5
In Listening/Speaking Taught		
Yes	143	30.8
No	41	8.8
NR	281	60.4
Result of Curriculum		
Yes	53	11.4
No	70	15.1
NR	342	73.5

(table continues)

Type of Change N = 465	Frequency	Percentage Frequency
In Selected Textbook		
Yes	117	25.2
No	68	14.6
NR	280	60.2
Result of Curriculum		
Yes	31	6.7
No	73	15.7
NR	361	77.6

Note. The two areas of greatest change, as a result of using the NYS ESL Curriculum, were changes in the grammatical structures taught and in vocabulary taught. In all other cases, the NYS ESL Curriculum was not reported to be the motivating force.

Table 12.

Overall Impact of NYS ESL Curriculum on Teaching and on ESL Program

Response N = 465	Frequency	Percentage Frequency
Impact on Teaching:		
no impact	4	.9
little impact	39	8.4
moderate impact	97	20.9
considerable impact	43	9.2
extensive impact	5	1.1
NR	277	59.6
Impact on ESL Program:		
no impact	5	1.1
little impact	35	7.5
moderate impact	95	20.4
considerable impact	41	8.8
extensive impact	7	1.5
NR	282	60.6

NR=no response

Appendix J

Teachers' Attitudes Toward the NYS ESL Curriculum

In the second discriminant analysis described in this study, the teacher's attitude toward the NYS ESL Curriculum was the only significant variable (F=2.14; significance=.0041) in distinguishing between Group II (Rejecters) and Group III (Users) of the NYS ESL Curriculum. This finding supported the hypothesis that teachers' perceptions of an innovation will influence the implementation (or non-implementation) of that innovation.

In Table 13 and Table 14, frequency data is presented reflecting Group II (Rejecter) and Group III (User) teachers' responses to selected key questions relating to their perceptions of the NYS ESL Curriculum. Data in Table 13 reflects recoding to the mean in certain limited cases where data was missing; Data in Table 14 does not, since respondents were asked to provide as many selections (or none) as they wished. Responses reflected in Table 14 were not mutually exclusive.

Table 13.

Respondents' Perceptions of the NYS ESL Curriculum

Variable N = 465	Frequency	Percentage Frequency
Was there a prior curriculum?		
Yes	103	22.2
No	65	14.0
Don't Know	101	21.7
NR	196	42.2
NYS ESL Curriculum is Better		
Yes	83	17.8
No	19	4.1
NR	363	78.1
Teachers Should Refer in September		
Strongly Agree	60	12.9
Agree	168	36.1
Undecided	13	2.8
Disagree	27	5.8
Strongly Disagree	5	1.1
NR	192	41.3
Not Necessary to Continue to Refer		
Strongly Agree	6	1.3
Agree	29	6.2
Undecided	14	3.0
Disagree	170	36.6
Strongly Disagree	53	11.4
NR	193	41.5
Excessive Stress on Grammar		
Strongly Agree	17	3.7
Agree	57	12.3
Undecided	38	8.2
Disagree	127	27.3
Strongly Disagree	32	6.9
NR	194	41.7

NR = no response

(table continues)

Variable N = 465	Frequency	Percentage Frequency
Objectives Good		
Strongly Agree	22	4.7
Agree	169	36.3
Undecided	24	5.2
Disagree	43	9.2
Strongly Disagree	13	2.8
NR	194	41.7
Revisions Needed		
Strongly Agree	28	6.0
Agree	87	18.7
Undecided	59	12.7
Disagree	92	19.8
Strongly Disagree	3	.6
NR	196	42.2
Reflects Communicative Approach		
Strongly Agree	13	2.8
Agree	164	35.3
Undecided	24	5.2
Disagree	62	13.3
Strongly Disagree	5	1.1
NR	197	42.4
Good Sequencing of Levels		
Strongly Agree	10	2.2
Agree	197	42.4
Undecided	35	7.5
Disagree	24	5.2
Strongly Disagree	2	.4
NR	197	42.4
Sequencing Corresponds With Teacher's Views		
Strongly Agree	15	3.2
Agree	148	31.8
Undecided	42	9.0
Disagree	57	12.3
Strongly Disagree	7	1.5
NR	196	42.2

NR = no response

(table continues)

Variable N = 465	Frequency	Percentage Frequency
Corresponds With ESL Tests		
Strongly Agree	13	2.8
Agree	149	32.0
Undecided	33	7.1
Disagree	55	11.8
Strongly Disagree	16	3.4
NR	199	42.8
Reflects Latest ESL Research		
Strongly Agree	9	1.9
Agree	100	21.5
Undecided	85	18.3
Disagree	52	11.2
Strongly Disagree	17	3.7
NR	202	43.4
Adaptable to Local School Environment		
Strongly Agree	16	3.4
Agree	168	36.1
Undecided	32	6.9
Disagree	40	8.6
Strongly Disagree	11	2.4
NR	198	42.6
Had Problems When First Using It		
Strongly Agree	10	2.2
Agree	42	9.0
Undecided	5	1.1
Disagree	110	23.7
Strongly Disagree	18	3.9
NR	280	60.2
Still Having Problems		
Strongly Agree	4	.9
Agree	32	6.9
Undecided	6	1.3
Disagree	113	24.3
Strongly Disagree	33	7.1
NR	277	59.6

NR = no response

(table continues)

Variable N = 465	Frequency	Percentage Frequency
Easy to Use		
Strongly Agree	14	3.0
Agree	97	20.9
Undecided	29	6.2
Disagree	38	8.2
Strongly Disagree	8	1.7
NR	279	60.0
Guide Section is Helpful		
Strongly Agree	14	3.0
Agree	115	24.7
Undecided	31	6.7
Disagree	23	4.9
Strongly Disagree	5	1.1
NR	277	59.6
Appendices are Helpful		
Strongly Agree	15	3.2
Agree	115	24.7
Undecided	25	5.4
Disagree	28	6.0
Strongly Disagree	1	.2
NR	281	60.4
Would Recommend Curriculum to Another Teacher		
Strongly Agree	42	9.0
Agree	123	26.5
Undecided	13	2.8
Disagree	7	1.5
Strongly Disagree	2	.4
NR	278	59.8

NR = no response

Table 14.

Respondents' Preferences for Alternative Curriculum Formats

Type of format	# selecting this format
a) curriculum in two volumes; one is a teachers'manual	
Group II (Rejecter) teachers who selected this option	= 16
Group III (User) teachers who selected this option	= 77
total	= 93
b) curriculum in a loose-leaf binder with movable pages	
Group II (Rejecter) teachers who selected this option	= 37
Group III (User) teachers who selected this option	= 112
total	= 149
c) curriculum on a computer disk	
Group II (Rejecter) teachers who selected this option	= 10
Group III (User) teachers who selected this option	= 31
total	= 41
d) curriculum in a kit with instructional items on sets of cards	
Group II (Rejecter) teachers who selected this option	= 25
Group III (User) teachers who selected this option	= 80
total	= 105
e) other (described by respondent)	
Group II (Rejecter) teachers who selected this option	= 2
Group III (User) teachers who selected this option	= 8
total	= 10

Note. All of the written suggestions provided by those teachers who selected "other" as a category focused on the need for more assistance to the teacher. Examples of some of the teachers' requests were: "instructional lessons with a teacher's manual," "more information on how to implement new methods and curriculum, including a placement test for grouping," "a curriculum with fully planned out, ready-to-use lessons (helps with standardization and consistency across the board)," "removable pages with lesson plans," and, "lessons using actual students of ESL on video cassette, along with lesson plans."

These teachers appear to be confusing the intent of a curriculum (ie.,what to teach) with methods, testing procedures etc. (ie.,how to teach). However, their comments should not be ignored, especially as the New York State Education Department moves more and more in the

direction of the "bare bones" syllabus, with the intent that the syllabus will be more fully developed into a curriculum at the local level.

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